DESIRE REPORT series

Guidelines for WB3 Part II: Assessment of Conservation Strategies

Assessment and documentation of existing and potential prevention and mitigation strategies

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www.desire-project.eu

Foreword

The DESIRE WB3 methodology was developed by the Centre for Development and Environment (CDE). It is based on experiences from the 'Learning for sustainability (L4S)' methodology (http://www.cde.unibe.ch/Tools/ALS_Ts.asp) and the WOCAT methodology (www.wocat.net). It consists of three parts:

Part I: Stakeholder Workshop 1: Identification of existing and potential prevention and mitigation strategies (WP 3.1)

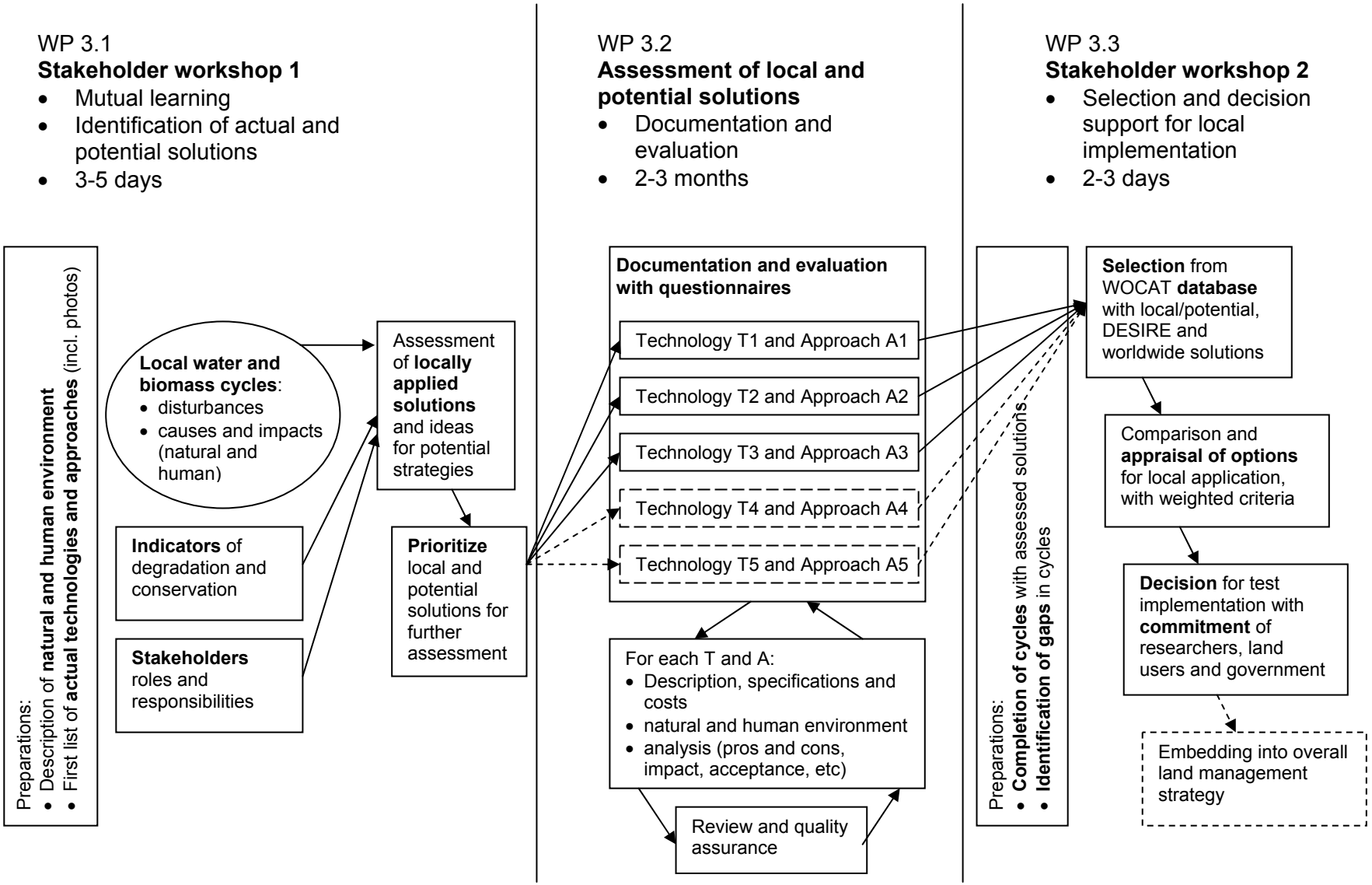
Part II: Assessment of Conservation Strategies: Assessment and documentation of existing and potential prevention and mitigation strategies (WP 3.2)

Part III: Stakeholder Workshop 2: Selection and decision on prevention and mitigation strategies to be implemented (WP 3.3)

These guidelines are a working instrument for the assessment and documentation of existing and potential prevention and mitigation strategies.

The graph on the following page illustrates the overall WB 3 methodology

WB3 Methodology



Guidelines for WB 3 Part II

Assessment and documentation of existing and potential prevention and mitigation strategies (WP 3.2)

Assessment of existing and potential prevention and mitigation strategies

During the 2-3 months following the stakeholder workshop 1 the existing and potential prevention and mitigation strategies identified will be documented and evaluated. This will help to better understand the reasons behind successful field experiences – be it introduced by projects, or found in traditional systems. This will allow to exchange valuable knowledge among all stakeholders and among the study sites as well as worldwide. It will also be the foundation for the selection and negotiation process in WP 3.3.

Overall aim:
To document and evaluate in each study site 3 – 5 existing and potential strategies to combat desertification and land degradation, which have been identified in the stakeholder workshop 1 of WB3.

Objectives:

1. To document and evaluate each identified locally applied solution with the help of a set of WOCAT questionnaires on technologies and approaches. These questionnaires help to describe and analyse the technologies and approaches in a structured and standardized way.
2. To guarantee a certain level of data quality through a review and quality assurance process at the study site level.
3. To supply this information into the WOCAT database in order to share it with the other DESIRE study sites.

Activities:

1. The trained facilitator fills in the questionnaires on technologies and approaches. He / she consults land users and other resource persons, and documents as much as possible and needed.
2. He / she enters the data into the database.
3. The study site team is responsible for the assurance of quality and the organisation of the review process.

Planning and organisation of the documentation and evaluation process

Who will conduct the documentation and evaluation process

The SWC expert (as identified on p. 7) will carry out the documentation and evaluation process. He / she will be responsible for the quality and the timing of data compilation and will do the work in close contact with resource persons (such as land users and experts) and the study site research team.

Activities

The whole documentation and evaluation process consists of the following steps:

1. **Get familiar with the questionnaires** on technologies and approaches, and plan the documentation and evaluation process.
2. **Define the technologies and approaches** to be assessed, based on their identification during the stakeholder workshop.
3. **Identify resource persons** for each technology and approach: land users who implement the technology, project personnel of SWC campaigns, agricultural advisors, research institutes, etc. Identify relevant **documents**.
4. **Fill in the questionnaires**: consult documents and resource persons.
5. **Enter the data into the database** and make a print-out.
6. **Review:** Identify possible reviewers and share data with them.
7. **Quality assurance:** Revise data by incorporating reviewers comments and improvements.
8. **Provide English version to DESIRE:** Translate data into English and send it to WB3 leaders.

Time requirement

Depending on the number of technologies and approaches you are assessing, you should count about 2-3 months (approximately 40 working days for 3-5 technologies and approaches) for the whole process.

Responsibilities and tasks

The study site research team is responsible for the timing of the whole process and the delivery of high quality information to DESIRE.

Outcome

3-5 locally applied solutions from each study site, documented and evaluated as sets of successful technologies and approaches. The technologies and approaches from each study site will be fed into the global WOCAT database, which offers a basket of options for implementation.

The documentation and evaluation process might reveal knowledge gaps which lead to potentially new research questions.

How to document potential solutions?

In the case of potential solutions you may not dispose of enough information to be able to fill in a questionnaire. Nevertheless, we ask you to document and assess potential solutions using a simple form with key questions (see *Form for documentation of potential solutions* at the end of this document).

Why to go through this process of documentation and evaluation?

From our perspective it is very important that this self-evaluation process takes place. Properly reflected own experiences already show where there are potentials for improvement or for up-scaling. The SWC specialist will also gain a better basis to look into the experiences of others (documented in the WOCAT database) and judge the strengths and weaknesses of those SWC Technologies and Approaches with regard to trying them or parts of them out in the context of their own bio-physical and socio-economic environment. The WOCAT methodology and databases do not offer "plug-and-play" SWC solutions, where soil and water conservation technologies and approaches can be taken from one place and simply copied to another environment. But WOCAT provides a proven methodology and a tool to document and evaluate what one is doing in terms of soil and water conservation (technologies and approaches) as well as a means to compare one’s own experience with that of others.

The WOCAT questionnaires on technologies and approaches

What is WOCAT?

WOCAT stands for World Overview on Conservation Approaches and Technologies. It is an international network of Soil and Water Conservation (SWC) and Sustainable Land Management (SLM) specialists. At the same time it provides a methodology to document, evaluate, share, disseminate and use knowledge about sustainable land management. See also www.wocat.net.

As part of its methodology, WOCAT has developed 3 comprehensive and standardized questionnaires – technologies, approaches and map – all tested and improved by international groups of experts since 1994. For the purpose of WP 3.3., the Questionnaire on SWC Technologies (QT) and the Questionnaire on SWC Approaches (QA) will be used, while the Questionnaire on the Map (QM) is part of WP 1.2.

To whom the questionnaires are addressed

The questionnaires are mainly addressed to specialists in the field of SWC and SLM; it's them who do the documentation and evaluation work. However, the use of the information (i.e. its share, dissemination and application) is targeted for a broader group, ranging from land users to decision makers and planners.

Aim of the questionnaires

The questionnaires provide a framework for documentation and evaluation and guide the SWC specialist through all relevant aspects of SWC/SLM. By filling in the questionnaires they not only document knowledge and establish a database, but also review and evaluate the SWC/SLM practice. They tap the know-how from several sources and stimulate interaction during the documentation and evaluation process.

Content of the questionnaires

The two questionnaires are complementary, asking details about a SWC technology and its implementation in QT and about the broader enabling environment in QA. They cover both the natural and human environment of SWC.

The Questionnaire on Technologies (QT)

QT addresses the following questions: what are the specifications of the technology, and where is it used (natural and human environment). The questionnaire consists of three main parts: 1. General information; 2. Specification of SWC Technology; 3. Analysis of SWC Technology.

A SWC Technology consists of one or more SWC measures belonging to the following categories:

- agronomic (eg intercropping, contour cultivation, mulching),
- vegetative (eg tree planting, hedge barriers, grass strips),
- structural (eg graded banks or bunds, level bench terrace),
- management (eg land use change, area closure, rotational grazing).

Combinations of above measures which are complimentary and thus enhance each other are part of a SWC Technology.

Criteria for identification of technologies are given below (see step 2)

The Questionnaire on Approaches (QA)

QA addresses the questions of how implementation was achieved and who achieved it. It is also made up of three main parts: 1. General information; 2. Specification of SWC Approach; 3. Analysis of SWC Approach

A SWC Approach defines the ways and means used to promote and implement a SWC Technology and to support it in achieving more sustainable soil and water use. A 'SWC Approach' - as defined by WOCAT - refers to a particular SWC activity, be it an official project/programme, an indigenous system, or changes in a farming system towards more sustainable soil and water use. A SWC Approach consists of the following elements: All participants (policy-makers, administrators, experts, technicians, land users, i.e. actors at all levels), inputs and means (financial, material, legislative, etc.), and know-how (technical, scientific, practical). An Approach may include different levels of intervention, from the individual farm, through the community level, the extension system, the regional or national administration, or the policy level, to the international framework. Besides SWC activities introduced through projects or programmes, WOCAT/DESIRE includes indigenous SWC measures and spontaneous adoptions or adaptations of SWC Technologies. In the case of a project, we restrict ourselves to those elements within the project that are directly or indirectly relevant to SWC.

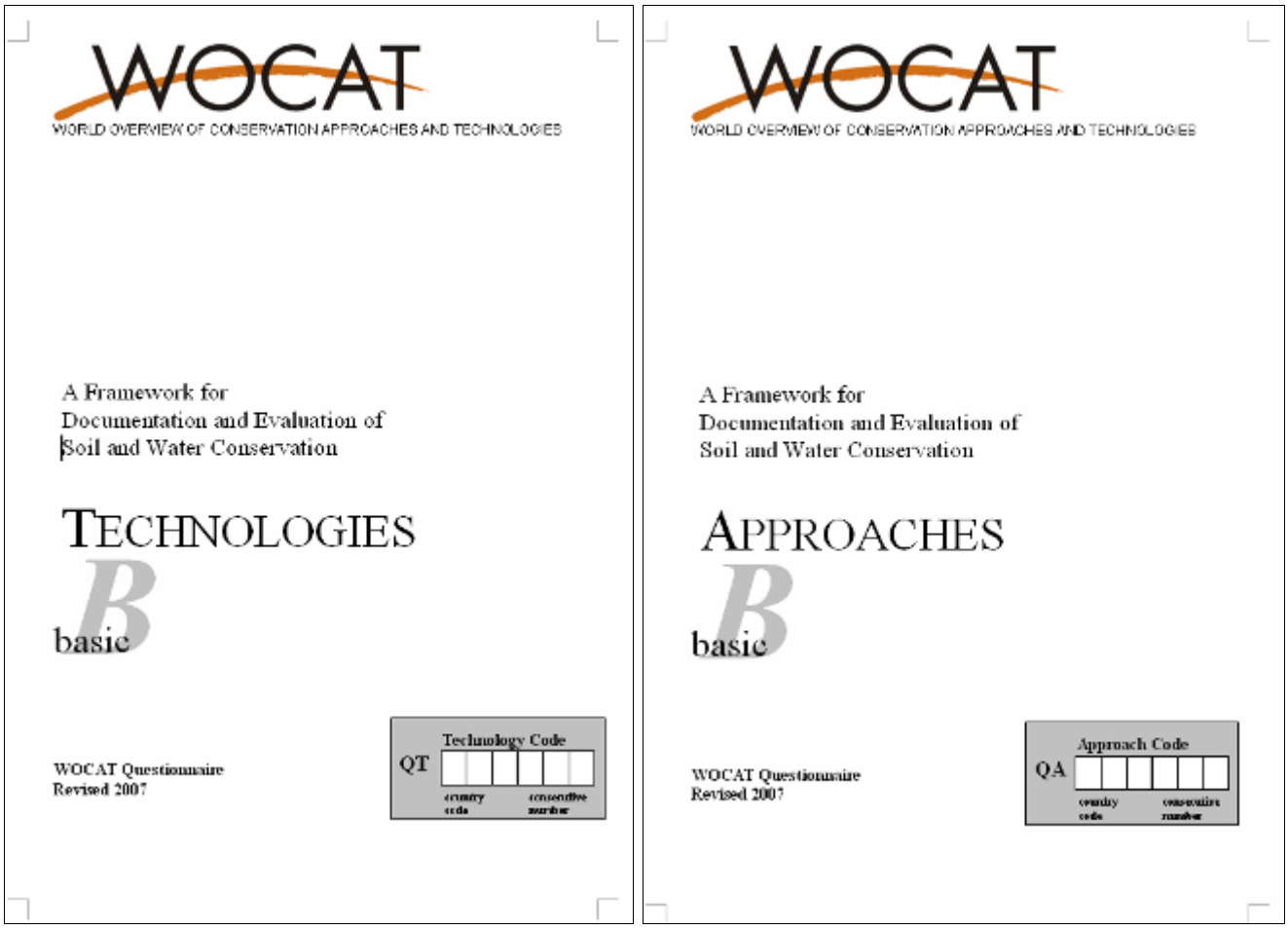
The basic questionnaire and the modules

WOCAT has developed a modular questionnaire system in order to meet the needs of different user groups: The “basic questionnaires” on technologies and approaches contain the key questions. These are the ones which are recommended to be used within DESIRE.

How should the questionnaires be used?

The questionnaires are used to document experiences and examples (case studies) of successful and partly successful SLM as well as failures.

These same tools are also intended to be used to critically review your often fragmented knowledge, to identify gaps and contradictions in what you already know, to question and evaluate your current perceptions and field experiences, and in so doing to identify locally appropriate ways of achieving the end objective of sustainable and productive land management.



The WOCAT Questionnaires on Technologies and Approaches

Step 1: Get familiar with the questionnaires

WOCAT questionnaires are more than simply questionnaires, but a framework for documentation and evaluation. For optimal preparation read through the questionnaires before you use them the first time.

Content of the questionnaire on SWC technologies:

Content of the questionnaire on SWC approaches:

Don't let the number of pages in the questionnaires discourage you! Certain sections are redundant for you, i.e. if your technology is applied on cropland only, you don't need to fill in the sections on grazing, forest and other land. Or, if your measure is a vegetative one only, you can skip the questions related to agronomic, structural or management measures.
In some places the information will be simple to obtain which allows you to advance quickly. In other sections there may be no hard data available and you are asked to provide a best estimate, based on your professional judgment.

Plan the documentation and evaluation process:
Make a schedule of the various steps described below. Take into account your time availability as well as the one of your resource persons. Count about one working week for each set of technology and approach.

Step 2: Define technologies and approaches

Based on the outcome of the stakeholder workshop 1, you need to define actual and potential technologies and approaches to be assessed in WP 3.2 (if not turned out satisfactory during the stakeholder workshop).

A SWC technology and its associated approach should cover **a homogeneous set of natural (bio-physical) and human (socio-economic) conditions**. They should hence not apply to, for instance, very dissimilar climatic or altitudinal zones or slope categories or very dissimilar conditions of land tenure.

Main criteria for a natural (bio-physical) environment:

- only one of the following land use types: cropland (either annual, perennial, or tree/shrub crops), grazing land (either extensive, or intensive grazing), forest/woodland, mixed or other land
- only one or a clearly defined combination of the following measures: agronomic, vegetative, structural, management
- one or a combination of two adjacent climatic zones: humid, subhumid, semi-arid, arid
- one or a combination of two adjacent slope categories: flat, gentle, moderate, rolling, hilly, steep, very steep
- one or a combination of two soil texture classes: sand, loam, clay
- one or a combination of two soil depth categories: shallow, medium, deep

Main criteria for a human (socio-economic) environment:

- a defined level of mechanization: hand tools, animal-drawn implements, motorised.
- a defined production system: self supply (subsistence), mixed, market-oriented (commercial)
- a defined level of inputs (costs) that are required
- a defined system of land ownership / land use rights

The selected technologies should also **include land user's own practices**, as opposed to research-based or extension- and project- promoted technologies. You should therefore observe carefully what land users are already doing that conforms to the requirements of sustainable land management, and recognise the value of indigenous expertise and local knowledge. However, we also have to bear in mind that land users can be blind at times and caught up in their own thoughts and perceptions of degradation processes and conservation achievements. Additionally some of them cannot adapt to the changing environment (socio-economic and natural).

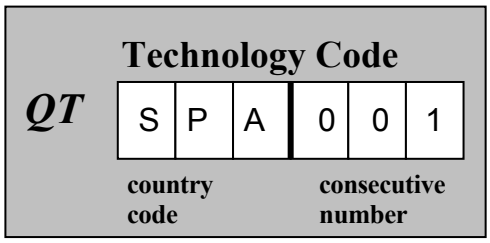
Identify the **potential strategies** (eg legislation changes) to be assessed. These are either simply described on a few pages or documented (hypothetically) with the help of the WOCAT questionnaires.

A questionnaire on technologies and a corresponding questionnaire on approaches together describe a **case study / strategy** within a selected area. One questionnaire has to be filled in for each technology and each approach.

If you describe a **technology system** (e.g. a sequence of technologies within a watershed), please fill in a questionnaire for each technology plus the separate module “Technology System”. A technology system consists of various interrelated technologies, which achieve the overall impact aimed at by joint functioning of all technologies.

Assign a **questionnaire code** for each of the identified technology and approach. The questionnaire code is a unique identifier for each technology and each approach. It is composed of a country abbreviation and a consecutive number. You can consult the database for your country code and the latest used number.

Example for Spain:



Ideally, the technology code and the corresponding approach code have the same number (e.g. QT SPA001 and QA SPA001).

Step 3: Identify resource persons and documents

It is recommended that the questionnaires be filled in by a **team of SWC specialists** with different backgrounds and experiences who are familiar with the details of the technology and the approach (technical, financial, socio-economic).

If your team knows the technology and approach very well, you are probably able to fill in a number of questions on your own. But if you undertake it as a purely desk-top exercise, the tendency is to tick the boxes that match your preconceptions, which may or may not be correct. In any case you are requested to contact one or several **land users** who apply the technology on their land. There are questions in the framework for which we specifically differentiate between your opinion (the expert opinion) and the land users' view.

Other resource persons are project personnel, agricultural advisors, researchers, etc. In order to consolidate your information you should try to identify as many resource persons as needed. It is important to combine project / ministry / advisory people with researchers / scientists, as this is crucial especially for the impact assessment. Experiences show that a good collaboration will also pay back in future.

Make a **list** of potential resource persons for each technology and each approach. **Contact** them in order to fix a date for a meeting or an interview. Often these people are happy to see that you show interest in their experiences. An interactive dialogue between the authors of the information and users is necessary and beneficial for both. Sharing knowledge AND knowledge gaps helps to improve the quality of data as well as the user's understanding. The experience shows that the greater the interaction is between providers of information and users, the better is the result.

Identify **documents** which help you answering the questionnaires. Organise and prepare the most relevant documents and baseline materials, such as project reports, case studies, photos and maps. Good photos are crucial for understanding and illustrating the main feature of the technology / approach.

We advise you to make use of existing documents and seek advice from other SWC specialists and land users as much as possible in order to improve the quality of the data. Use this questionnaire as an **evaluation tool** for the SWC activities and remember that the quality of the results entirely depends on the quality of your answers.

Step 4: Fill in the questionnaire

Only now, after a thorough preparation of step 1-3 you can start filling in the questionnaires. Follow the **steps** below:

- Make a print-out of the questionnaire for every technology and approach.
- Fill in the assigned questionnaire codes for each of them.
- We recommend to first fill in the information by hand, as this is more convenient when using the questionnaire in the field.
- Go through the questionnaire and fill in what you know.
- Identify questions for which you need to contact the land user or other resource persons.
- Go to the field and talk to the land user, fill in those questions concerned and review previously filled questions.
- Talk to other resource persons identified to complete missing issues.
- Consult documents (e.g. project documents, research papers) to round off your answers.
- Add drawings, photographs and references to documents. Take photos yourself if not available.

SWC specialist discussing questions with the land user

Some **explanations and recommendations**:

- Shaded parts in the questionnaires are questions to be filled in; not shaded parts are explanations or examples.
- Please fill in all questions. If information is not available or if certain questions are not applicable always indicate “n/a”.
- Please note that throughout the document the following is valid:

  □ Square boxes must be ticked! If ‘Several answers possible’ is not indicated tick only one box!

  O Circles always require ranking! It is possible to give more than one option the same rank, but not necessarily all circles need to be given a number. Use only ranks 1, 2 or 3!
  1 = very important / large extent
  2 = important / medium extent
  3 = less important / little extent

- Make use of the specify/remark/comments column or line as much as possible!
- If you do not have enough space for answers, use the empty pages at the end of the questionnaire. Please make a footnote in the questionnaire to indicate the exact question number. Please also attach good technical drawings, photographs, descriptions, references, etc.
- Fill in the questionnaire carefully and legibly.
- Photos should be of high quality. Highest possible resolution is required for digital photos (300 dpi).

Potential strategies:
There are various options to describe and assess potential strategies:

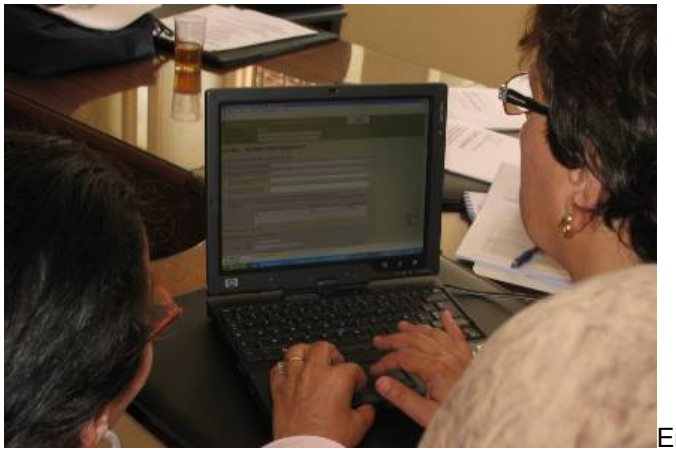
a) Simply describe the strategy on about 4-5 pages (general description, target group, target area and land use, functionality, layout, expected costs and labour, expected impact, expected constraints).
b) Try to use the technology and approach questionnaire to hypothetically assess the potential strategy. Fill in those questions which are applicable.
c) If the potential strategy is already applied somewhere outside the study area you might identify a contributing specialist who can document and evaluate their experience with the help of the WOCAT questionnaires.
d) You can also try to find similar technologies and approaches in the global WOCAT database, which have been documented elsewhere already.

Step 5: Enter the data into the database

Enter the data into the WOCAT database management system. Check for the latest version of the database on www.wocat.net and use the manual provided on the website.

While entering the data, check for consistency, comprehensiveness and quality.

Make a print-out of the summary or the full questionnaire.


Entering data into the database

Step 6: Review

The study site research team identifies a number of reviewers (1-3) which can counter-check the data and make an assessment of data comprehensiveness, readability and quality. Ideally you contact them before you start documenting and agree on an appropriate time schedule for their input.
Send or give them the print-outs of your technologies and approaches.

Some considerations for the review

Common sense and critical questioning (over-reliance on assumptions):
All aspects involved in soil and water conservation need to be questioned critically. How and why does it (not) work? Under which conditions does it (not) work? What is the reasoning of the land user and the SWC specialist? Often obvious contradictions which can not be explained (or do not make sense) are found. However, the information is only convincing and useful if these contradictions can be clarified.
Examples: In one case study, water erosion was listed as the major degradation problem. An examination of slopes showed that SWC measures were applied on completely flat slopes. When questioned about it, respondents replied that it was actually not water erosion but salinization. In another technology, costs of US$ 1221 per hectare were indicated. When the authors were asked to list the activities and materials involved, it was apparent that the first figure given was 10 times too high. In other cases the costs initially given were more than 10 times too low. This makes quite a difference for land users and for project implementation!

Preconceptions, biases and wishful thinking:
Many projects are based on the assumption that once particular technologies and approaches have been implemented, land degradation problems will be solved. However, this may be 'wishful' thinking rather than something based on hard data. Similar wishful thinking applies to approaches where projects assume that the systems/structures they designed will continue after their withdrawal.
The reviewers need to take care on those questions were the evaluation is done by using different ratings from low/poor to high/good. Many of these subjective assessments might appear to be wishful thinking on the part of the author rather than something based on real hard data. This can be largely explained by the fact that few attempts have been made to measure the field-scale environmental and socio-economic benefits of sustainable land management. Occasionally figures for yield increases may be quoted, but it is unclear whether this can be attributed solely to the documented technology, or whether it may in part be due to the simultaneous introduction of fertiliser, new varieties, and improved crop husbandry practices. For instance, as suggested by one described technology, can terracing alone result in a 500-1000% yield increase?

Poor understanding of land degradation processes and lack of impact assessment of conservation:
Reviewing the WOCAT technologies has revealed that misunderstandings as to how land degradation processes actually operate under specific local conditions may result in false assessments as to the nature of the problem and therefore the effectiveness of particular technologies in controlling it. To properly document a technology and how it functions, the author(s) must have a good basic understanding of all the aspects involved.

Example: One documented technology suggested that a windbreak would prevent water erosion by controlling both dispersed and concentrated runoff. However a windbreak, with widely spaced trees, cannot by itself control surface runoff, as individual trunks will be too far apart to have any barrier effect. Perhaps as a result of the vegetative cover by the trees and the undergrowth, the soil under the wind break had a much higher infiltration rate and could thus control the dispersed and concentrated runoff.

Lack of a holistic assessment and failure to understand the context:
In many situations the lack of a holistic assessment of the processes and causes of land degradation has ended up with efforts being narrowly focussed on addressing the visible symptoms rather than tackling the site-specific reasons for the occurrence of land degradation. This can lead to the selection and promotion of technologies which, while technically sound, are economically and/or socially non-viable. The reviewer needs to assess these issues while specifically looking at the socio-economic context and see if the author has properly understood the whole setting.

Step 7: Quality assurance

Revise your data by incorporating the comments and improvements suggested by the reviewers.

Mark those questions that need **follow-up investigation** and screening of additional documents. If needed go to the field again.
Calculate enough **time** for this process. Usually it needs several ‘rounds’ of quality assurance steps, i.e. contacting resource persons as well as reviewers, improving the quality, finding new inconsistencies and counter-checking with resource persons and reviewers again.

Step 8: Provide English version to DESIRE

So far the documentation and evaluation was probably done in your local language. For the purpose of DESIRE, and the share of the information with the other study sites, it is needed to provide a translation of your data into English. Take care that this translation is done by somebody who knows the terms used in land management, as this is needed to get a meaningful translation.

Send data to WB3 leaders:

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wocat@giub.unibe.ch
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Questionnaire on SWC Technologies

WORLD OVERVIEW OF CONSERVATION APPROACHES AND TECHNOLOGIES

A Framework for
Documentation and Evaluation of
Sustainable Land Management

TECHNOLOGIES

B basic

WOCAT Questionnaire
Revised 2008

Technology Code

QT | | | | | | |

country code **consecutive number**

WOCAT

A Framework for
Documentation and Evaluation of
Sustainable Land Management

Within the framework of sustainable land management (SLM),

WOCAT's vision is that land and livelihoods are improved through sharing and enhancing knowledge about sustainable land management.

WOCAT's mission is to support innovation and decision-making processes in sustainable land management, particularly in connection with soil and water conservation (SWC). This is done by:

- connecting stakeholders,
- analysing and synthesising experiences and setting direction,
- enhancing capacity and knowledge,
- developing and applying standardized tools for documenting, monitoring, evaluating, sharing and using knowledge

WOCAT's target group is SLM specialists:

- at the field level, including agricultural advisors, project implementers, land users,
- at the (sub-)national level, including planners, project designers, decision makers, researchers,
- at the regional and global levels, including international programme planners, donors.

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Introduction to the questionnaire

Sustainable Land Management (SLM) in the context of WOCAT is defined as the use of land resources, including soils, water, animals and plants, for the production of goods to meet changing human needs, while simultaneously ensuring the long-term productive potential of these resources and the maintenance of their environmental functions.

The ultimate goal of this exercise is to improve the effectiveness of SLM by analysing field experience. To achieve this, we need to obtain a better understanding of the reasons behind successful experience with SLM – be it introduced by projects or found in traditional systems. Within SLM WOCAT focuses mainly on efforts to prevent and reduce land degradation through conservation technologies and their implementation approaches.

It is necessary to analyse not only so-called "successful" examples, but also those which may be considered – at least partially – a failure. The reasons for failure are equally important for our analysis.

Three questionnaires

WOCAT has developed a set of three questionnaires to analyse and evaluate SLM:

- *Questionnaire on SLM Technologies (QT)*
- *Questionnaire on SLM Approaches (QA)*
- *Questionnaire on SLM Mapping (QM)*

Questionnaire on SLM Technologies (QT): QT addresses the following questions: **what** are the specifications of the Technology, and **where** is it used (natural and human environment), what impact does it have. The questionnaire consists of three main parts: 1. General information; 2. Specification of SLM Technology; 3. Analysis of SLM Technology.

A **SLM Technology** consists of one or more *conservation measures* belonging to the following categories:

- ***agronomic*** (eg intercropping, contour cultivation, mulching),
- ***vegetative*** (eg tree planting, hedge barriers, grass strips),
- ***structural*** (eg graded banks or bunds, level bench terrace),
- ***management*** (eg land use change, area closure, rotational grazing).

Combinations of above measures which are complimentary and thus enhance each other are part of a SLM Technology.

Criteria for identification and examples of technologies are given in the Questionnaire on SLM Technologies "basic" on page QT1 and QT7.

The **questionnaire on SLM Approaches (QA):** QA addresses the questions of **how** implementation was achieved and **who** achieved it. It is also made up of three main parts: 1. General information; 2. Specification of SLM Approach; 3. Analysis of SLM Approach

A **SLM Approach** defines the ways and means used to promote and implement a SLM Technology and to support it in achieving more sustainable soil and water use. A 'SLM Approach' - as defined by WOCAT - refers to a particular land conservation activity, be it an official project/programme, an indigenous system, or changes in a farming system towards more sustainable soil and water use. A SLM Approach consists of the following elements: ***All participants*** (policy-makers, administrators, experts, technicians, land users, i.e. actors at all levels), ***inputs*** *and* ***means*** (financial, material, legislative, etc.), and ***know-how*** (technical, scientific, practical). An Approach may include different ***levels of intervention***, from the individual farm, through the community level, the extension / advisory system, the regional or national administration, or the policy level, to the international framework. Besides conservation activities introduced through projects or programmes, WOCAT includes indigenous conservation measures and spontaneous adoptions or adaptations of SLM Technologies. ***In the case of a project, we restrict ourselves to those elements within the project that are directly or indirectly relevant to land conservation.***

The **questionnaire on SLM Mapping (QM)** addresses the question of **where** problems and their treatments occur. It is split up into 5 different steps: Contributing specialist; Land Use System; Land degradation per land use system, Land conservation per land use system; Expert recommendation.
The three questionnaires (QT, QA and QM) complement each other. The information obtained from the questionnaires will provide an information base / database for the development and evaluation of SLM. The analysis and evaluation process is based on this information and on the knowledge provided by core groups of SLM specialists and the world community of conservation implementers at large.

The basic questionnaire and the modules

WOCAT has developed a modular questionnaire system in order to meet the needs of different user groups. The "basic questionnaires" on Technologies and Approaches contain the key questions on sustainable land management (SLM), they are the foundation of the WOCAT methodology.

The framework is flexible and open for additional topics (not covered in the standardised WOCAT questionnaires): further modules can thus be added according to specific interests and needs, e.g. modules on "Biodiversity", "Carbon sequestration", etc. The realisation of additional modules depends on the initiative of interested partners, who can count on the collaboration of WOCAT.

Please read these notes before filling out the questionnaire!

- It is recommended that the questionnaire be filled in by a **team of SLM specialists** with different backgrounds and experiences who are familiar with the details of the SLM Technology (technical, financial, socio-economic).
- **Don't let the number of pages in this questionnaire discourage you!** In some places the information will be simple to obtain, but in other sections there may be no hard data available. In this latter case, we ask you to provide a best estimate, based on your professional judgment.
- **Shaded parts** in the questionnaire are questions to be filled in, **not shaded parts** are explanations or examples.
- Fill all questions. If information is not available or if certain questions are not applicable always indicate "n/a". Please note that throughout the document the following is valid:

☑ ***Square boxes must be ticked!*** *If 'Several answers possible' is not indicated tick only one box**!***
Make use of the specify/remark/comments column or line as much as possible!

◯ ***Circles always require ranking!*** *It is possible to give more than one option the same rank, but not necessarily all circles need to be given a number. Use only ranks 1, 2 or 3!*

1 = very important / large extent
2 = important / medium extent
3 = less important / little extent

- **Make use of existing documents and seek advice from other SLM specialists and land users as much as possible in order to improve the quality of the data. Use this questionnaire as an evaluation tool for your SLM activities. Remember that the quality of the results entirely depends on the quality of your answers.**
- Use the definitions given in this document, even when they deviate from your own/national definitions (e.g. land use, slope classes, etc.)
- If you do not have enough space for answers, use the empty pages at the end of the questionnaire. Please make a footnote in the questionnaire to indicate the exact question number. Please also attach good technical **drawings, photographs descriptions**, references, etc.
- One questionnaire has to be filled out for each Technology and for each Approach. Do not forget to give this questionnaire a code (see cover page of this document and page QT 1).
- The questionnaire was designed to document SLM technologies. However, it can also be used for any land use management practice which may not be declared as a SLM practice. If the objective is to compare situation *x* (after or with SLM measures) with *y* (before or without SLM measures), fill in two separate questionnaires. The questionnaire on *x* has to be filled completely. In the questionnaire on *y* only the answers that are different from *x* need to be filled. Indicate through the coding that the technologies are related (eg SWI05a and SWI05b).
- An Approach should be linked with one (or several) SLM Technology (ies).
- A Questionnaire on Technologies and a corresponding Questionnaire on Approaches together describe a case study within a selected area
- Please fill out the questionnaire **carefully and legibly**.
- **Please enter the information in the WOCAT online database,** see www.wocat.net/databs.asp

Contents

PART 1: GENERAL INFORMATION

1.1 Contributing SLM specialist(s)

If several SLM specialists are involved, write the name of the main resource person and his / her institution below and add the other person(s) details in the Annex 1.

Last name / surname: ..... First name(s): ..... female male

Current institution and address:

Name of institution: .....

Address of institution: .....

Postal Code: ..... City: .....

State or District: ..... Country: .....

Tel: ..... Fax: ..... E-mail: .....

Permanent address: .....

Postal Code: ..... City: .....

State or District: ..... Country: .....

Please confirm that institutions, projects, etc. referred to, have no objections to the use and dissemination of this information by WOCAT.

Date: ..... Signature: .....

1.2 Brief identification of SLM Technology (see introduction, page i)

Country: .....

Technology code: | | | | | | |

Technology code: boxes 1-3: country code; boxes 4-6: consecutive number; will be assigned automatically when entering questionnaire information in the database

1.2.1 Common name of SLM Technology: .....

.....

Do not use generic names but be more specific to ensure that the Technology can be distinguished from similar ones (easier identification).

1.2.2 Local or other name(s) (with language) .....

.....

Criteria for the identification and delineation of a Technology:

*A **single SLM Technology** should cover a homogeneous set of natural (bio-physical) and human (socio-economic) conditions, hence should not be applied for instance to very dissimilar climatic or altitudinal zones or slope categories or to very dissimilar conditions of land tenure.*

Main criteria for a natural (bio-physical) environment:

- *only one of the following land use types: cropland (separate annual, perennial, tree/shrub crops), grazing land (extensive, intensive grazing), forest/woodland, mixed or other land*
- *only one or a clearly defined combination of the following measures: agronomic, vegetative, structural, management*
- *one or a combination of two adjacent climatic zones: humid, subhumid, semi-arid, arid*
- *one or a combination of two adjacent slope categories: flat, gentle, moderate, rolling, hilly, steep, very steep*
- *one or a combination of two soil texture classes: sand, loam, clay*
- *one or a combination of two soil depth categories: shallow, medium, deep*

Main criteria for a human (socio-economic) environment:

- *a defined level of mechanisation: hand tools, animal-drawn implements, motorised*
- *a defined production system: self supply (subsistence), mixed, or market-oriented (commercial)*
- *a defined level of inputs (costs) that are required*
- *a defined system of land ownership / land use rights*

*A single Technology can consist of one or a **combination of land conservation measures** (agronomic, vegetative, structural or management measures). Example: Terraces combined with grass strips and contour ploughing. If a Technology is documented from the perspective of a single land user, it is only assessed for the specific Technology area, even though the same Technology may be used by other land users and covers a broader area. If a Technology is documented from the perspective of a group of land users / a broader area (eg of a project/programme), it is based on the experience of a SLM specialist including the various land users.*

1.2.3 Is the Technology described in this questionnaire part of a 'watershed system'?

Yes No

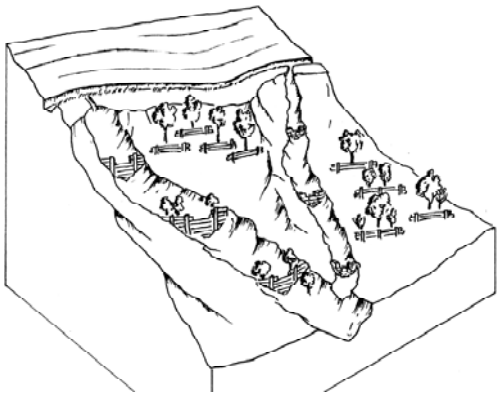
If yes, fill a questionnaire for each Technology plus the module 'watershed system'

Watershed system:

- *joint functioning of various technologies as one system in a watershed, i.e. the impact aimed at can only be achieved by combining and integrating these technologies. Often a combination of technologies covering an area (eg mulching, terracing) with technologies situated along drainage lines / waterways (eg check dams, sediment traps, water dams)*
- *the different technologies are often positioned in a sequence in the landscape (toposequence, defined by waterflow; up-/downstream, reservoir), eg in a watershed / catchment*

Examples

Graded bund and ditch below with drainage channels. Excess water needs to be drained and channelled without causing damage. Anjeni, Ethiopia. (Photo: Hans Hurni)



Gully control and catchment protection with integrated measures such as cut-off drains, wooden check dams, stone check dams and staggered structures for tree planting. Cochabamba, Bolivia. (Drawing: Mats Gurtner)

1.2.4 To understand properly the implementation of the SLM Technology, the associated SLM Approach needs to be described. Indicate the Approach or Approaches described in the WOCAT Questionnaire on SLM Approaches' (QA).

Name of SLM Approach:	Author:	Questionnaire code:
1.	.....	QA _ _ _ | _ _ _
2.	.....	QA _ _ _ | _ _ _

1.3 Area information

1.3.1 Define the area in which the SLM Technology has been applied

State / Province: ..... District / Commune: ……..

Total SLM Technology area: ……..km^2

If precise area is not known, indicate approximately.

< 0.1 km^2 (10 ha)	100 km^2 - 1,000 km^2
0.1 - 1 km^2	1,000 km^2 - 10,000 km^2 -
1 - 10 km^2	> 10,000 km^2
10 - 100 km^2	

Comments: .....

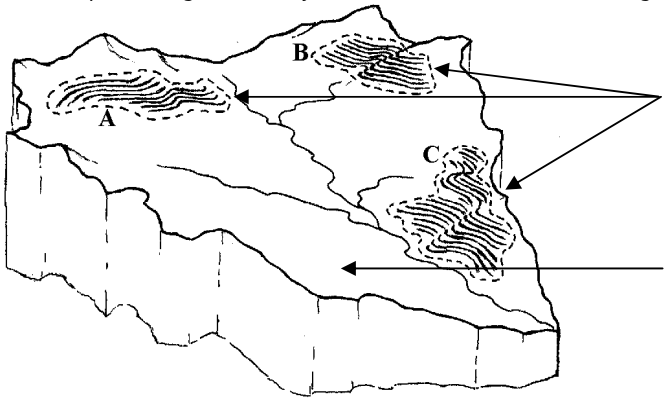
.....

.....

.....

☑ ***Square boxes must be ticked!*** *If 'Several answers possible' is not indicated tick only one box!*
Make use of the specify/remark/comments column or line as much as possible!

SLM Technology area: *The area where SLM Technology is already implemented. It includes both the area occupied by conservation measures and the additional area protected by them (eg the area between structures or vegetation strips). Limit to the area for which you have detailed information or particular knowledge (based on research / projects). Also remember that the information given in the questionnaire should relate to a homogeneous area as defined in 'criteria for Technology' QT 2).*



A, B and C: Areas where SLM Technology (described in this questionnaire) is applied

A + B + C =
*Total **SLM Technology area***

Area where the described SLM Technology is not applied

1.3.2 Provide the coordinates in latitude and longitude of the center of the conservation area.

It is also possible to indicate boundary points to delineate the conservation area or provide a GoogleEarth .kmz file (containing a 'placemark' or a 'polygon').

Centre latitude: _____ Centre longitude: _____

Outline boundary points or GoogleEarth file: _____

_____

_____

GoogleEarth: download free version from http://earth.google.com/

PART 2: SPECIFICATION OF SLM TECHNOLOGY

2.1 Description

Give a definition and a concise description of the Technology. See also criteria for the boundaries of a Technology on page QT3.

2.1.1 Definition of Technology (in one sentence)

.....

.....

Definition of Technology is very important as it determines whether anyone searching the database will read further. It contains key characteristics (key words) of the Technology.

2.1.2 Provide an extended summary of the Technology with its main characteristics

Make sure that the description contains the key characteristics / distinct features of the Technology, purpose, establishment / maintenance activities and inputs, most important conditions regarding natural / human environment) this summary has to provide a comprehensive / concise picture of the Technology to outsiders. After having gone through the whole questionnaire come back and revise / complement this section. Try to fill the grey shaded space but do not exceed.

Description: .....

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Purpose:.....

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Establishment / maintenance activities and inputs: .....

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Natural / human environment: .....

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2.1.3 Provide photos showing an overview and details of the Technology:

Provide at least two photos. Explanation (description) is required for each photo submitted!
Photos should be of high quality. Highest possible resolution is required for digital photos.
Photos should match the description given in 2.1.2 and help illustrate the technical drawing in 2.4.
Where appropriate, photos should depict the before and after or with and without conservation measures situation.
Good photos are crucial for understanding and illustrating the main feature of the Technology.

Explanation of photo:

Description: .....

.....

.....

Location: ..... Distr./Prov./State: ..... Date: .....

Author: ..... Address: .....

***Example**: Fanya juu terraces in semi-arid area which have grass strip developed into benches.(Machakos, Kenya)*
(Photos: Hanspeter Liniger)

Fanya juu bund in maize field after harvest: napier on upper part of bund and maize trash in ditch below. (Machakos, Kenya)

2.2 Purpose and classification

2.2.1 Specify the major land use problems related to soil, water and vegetation in the area (without land conservation):

In your opinion: .....

.....

From the land users'* point of view: .....

.....

***Land user** (definition): the person / entity who implements / maintains land conservation, including individual small/large scale farmers, groups (gender, age, status, interest etc), cooperatives, industrial companies (eg mining), government institutions (eg state forest), etc*

2.2.2 Characterisation and purpose of the Technology

2.2.2.1 On which current land use type is the Technology applied?

Land use type(s) - subcategory(ies): ……..... (usually one type, maximum two)
If land use has changed due to the implementation of the Technology, indicate land use type before and after:
Original land use (before implementation of SLM Technology): .....
Future (final) land use (after implementation of SLM Technology)(if relevant): .....

Use the land use types listed below. Further details on land use (including irrigation, etc. will be dealt with in sections 2.8.8 (cropland and mixed land), 2.8.9 (grazing land), 2.8.10 (forest), 2.8.11 (other land).

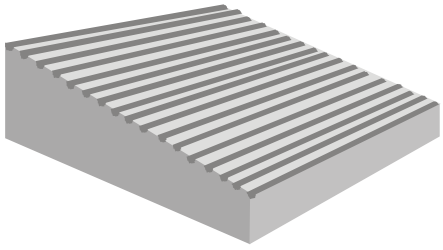
***Land use:** human activities which are directly related to land, making use of its resources or having an impact upon it.*
***Land cover:** Vegetation (natural or planted) or man-made structures (buildings, etc.) that cover the earth's surface.*

Land use type	***Subcategory codes***
***Cropland:** Land used for cultivation of crops (field crops, orchards).*	• ***Ca: Annual cropping:** land under temporary / annual crops usually harvested within one, maximally within two years (eg maize, paddy rice, wheat, vegetables, fodder crops)* • ***Cp: Perennial (non-woody) cropping:** land under permanent (not woody) crops that may be harvested after 2 or more years, or only part of the plants are harvested (eg sugar cane, banana, sisal, pineapple)* • ***Ct: Tree and shrub cropping:** permanent woody plants with crops harvested more than once after planting and usually lasting for more than 5 years (eg orchards / fruit trees, coffee, tea, grapevines, oil palm, cacao, coconut, fodder trees)*
***Grazing land:** Land used for animal production*	• ***Ge: Extensive grazing land:** grazing on natural or semi-natural grasslands, grasslands with trees / shrubs (savannah vegetation) or open woodlands for livestock and wildlife* • ***Gi: Intensive grazing/ fodder production:** improved or planted pastures for grazing/ production of fodder (for cutting and carrying: hay, leguminous species, silage etc) not including fodder crops such as maize, cereals. These are classified as annual crops (see above)*
***Forests / woodlands:** land used mainly for wood production, other forest products, recreation, protection.*	• ***Fn: Natural:** forests composed of indigenous trees, not planted by man* • ***Fp: Plantations, afforestations:** forest stands established by planting or/and seeding in the process of afforestation or reforestation* • ***Fo: Other:** eg selective cutting of natural forests and incorporating planted species*
***Mixed:** mixture of land use types within the same land unit.*	• ***Mf: Agroforestry:** cropland and trees* • ***Mp: Agro-pastoralism**: cropland and grazing land (including seasonal change between crops and livestock)* • ***Ma: Agro-silvopastoralism:** cropland, grazing land and trees (including seasonal change between crops and livestock)* • ***Ms: Silvo-pastoralism:** forest and grazing land* • ***Mo: Other:** other mixed land*
Other:	• ***Oi: ines and extractive industries*** • ***Os: Settlements, infrastructure networks:** roads, railways, pipe lines, power lines* • ***Ow: Waterways, drainage lines, ponds, dams*** • ***Oo: Other: wastelands, deserts, glaciers, swamps, recreation areas, etc***

2.2.2.2 **Which conservation measures does the Technology consist of?**
Note: circles always require ranking; Important: check definitions below

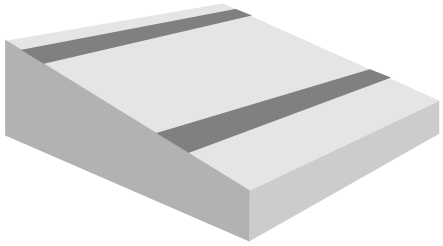
	Select category (ies) / code (s) from below
agronomic measures	◯
vegetative measures	◯
structural measures	◯
management measures	◯

Land conservation measures – the constituents of a SLM Technology
Conservation measures fall into four categories: agronomic, vegetative, structural and management measures. Measures are components of SLM technologies. Each Technology is made up of one or – very commonly - a combination of measures: For instance, terraces – a typical structural measure – are often combined with other measures, such as grass on the risers for stabilisation and fodder (vegetative measure), or contour ploughing (agronomic measure). For detailed explanations refer to www.wocat.net



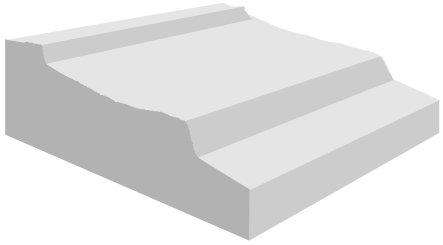
Agronomic measures *such as conservation agriculture, manuring / composting, mixed cropping, contour cultivation, mulching, etc.*
- *are usually associated with annual crops*
- *are repeated routinely each season or in a rotational sequence*
- *are of short duration and not permanent*
- *do not lead to changes in slope profile*
- *are normally independent of slope*

A1: Vegetation / soil cover
A2: Organic matter / soil fertility
A3: Soil surface treatment
A4: Subsurface treatment
A5: Others



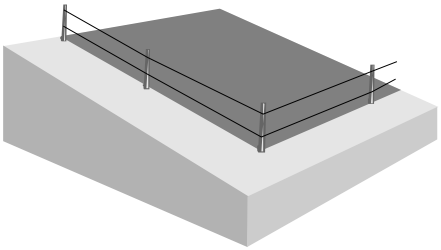
Vegetative measures *such as grass strips, hedge barriers, windbreaks, agroforestry etc.*
- *involve the use of perennial grasses, shrubs or trees*
- *are of long duration*
- *often lead to a change in slope profile*
- *are often aligned along the contour or against the prevailing wind direction*
- *are often spaced according to slope*

V1: Tree and shrub cover
V2: Grasses and perennial herbaceous plants
V3: Clearing of vegetation (eg fire breaks/reduced fuel)
V4: Others



Structural measures *such as terraces, banks, bunds, constructions, palisades, etc*
- *often lead to a change in slope profile*
- *are of long duration or permanent*
- *are carried out primarily to control runoff, wind velocity and erosion and to harvest rainwater*
- *often require substantial inputs of labour or money when first installed*
- *are often aligned along the contour / against prevailing wind direction*
- *are often spaced according to slope*
- *involve major earth movements and / or construction with wood, stone, concrete, etc.*

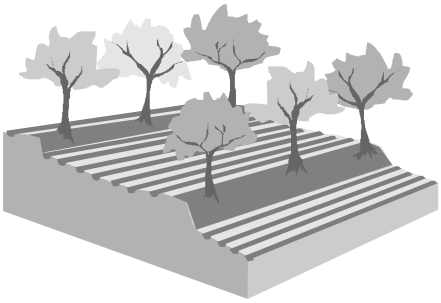
S1: Bench terraces (slope of terrace bed <6%)
S2: Forward sloping terraces (slope of terrace bed >6%)
S3: Bunds / banks
S4: Graded ditches / waterways (to drain and convey water)
S5: Level ditches / pits
S6: Dams / pans: store excessive water
S7: Reshaping surface (reducing slope)
S8: Walls / barriers / palisades
S9: Others



Management measures *such as land use change, area closure, rotational grazing, etc.*

- *involve a fundamental change in land use*
- *involve no agronomic and structural measures*
- *often result in improved vegetative cover*
- *often reduce the intensity of use*

M1: Change of land use type
M2: Change of management / intensity level
M3: Layout according to natural and human environment
M4: Major change in timing of activities
M5: Control / change of species composition (if annually or in a rotational sequence as done eg on cropland -> A1)
M6: Others



Combinations *in conditions where different measures are complementary and thus enhance each other's effectiveness.*
Any combinations of the above measures are possible, eg:

- ***structural:*** *terrace with*
- ***vegetative:*** *grass and trees with*
- ***agronomic:*** *ridges*

Example: **S1,V1, V2, A3:**

2.2.2.3 **Which of the following goals does the Technology pursue (stage of intervention)?**

prevention* of land degradation	◯
mitigation / reduction of land degradation	◯
rehabilitation / reclamation of denuded land	◯

** Good land management practices already in place on land that may be prone to land degradation. In this case list the common degradation that occurs in the area without the Technology in 2.2.2.4.*

◯ ***Circles always require ranking!*** *It is possible to give more than one option the same rank, but not necessarily all circles need to be given a number. Use only ranks 1, 2 or 3!*

1 = very important / large extent
2 = important / medium extent
3 = less important / little extent

2.2.2.4 **Which types of land degradation are mainly addressed by the Technology?**

Select the types / codes from the list below

..... ◯
..... ◯
..... ◯
..... ◯

Degradation types (for detailed explanations refer to www.wocat.net):

W: Soil erosion by water

Wt	*loss of topsoil / surface erosion: even removal of top soil, sheet and interrill erosion*
Wg	*gully erosion / gullying*
Wm	*mass movements / landslides*
Wr	*riverbank erosion*
Wc	*coastal erosion*
Wo	*offsite degradation effects: deposition of sediments, downstream flooding, siltation of reservoirs and waterways, and pollution of water bodies with eroded sediments*

E: Soil erosion by wind

Et *loss of topsoil: uniform displacement*
Ed *deflation and deposition: uneven removal of soil material*
Eo *offsite degradation effects: covering of the terrain with windborne sand particles from distant sources ("overblowing")*

C: Chemical soil deterioration

Cn *fertility decline and reduced organic matter content (not caused by erosion): eg leaching, soil fertility mining, nutrient oxidation and volatisation (N)*
Ca *acidification: lowering of the soil pH*
Cp *soil pollution: contamination of the soil with toxic materials*
Cs *salinisation / alkalinisation: a net increase of the salt content of the (top) soil leading to a productivity decline*

P: Physical soil deterioration

Pc *compaction: deterioration of soil structure by trampling or the weight and/or frequent use of machinery*
Pk *sealing and crusting: clogging of pores with fine soil material and development of a thin impervious layer at the soil surface obstructing the infiltration of rainwater*
Pw *waterlogging: effects of human induced water saturation of soils (excluding paddy fields)*
Ps *subsidence of organic soils, settling of soil*
Pu *loss of bio-productive function due to other activities (eg construction, mining, roads, etc)*

B: Biological degradation

Bc *reduction of vegetation cover: increase of bare / unprotected soil*
Bh *loss of habitats: decreasing vegetation diversity (fallow land, mixed systems, field borders), increased fragmentation of habitats*
Bq *quantity / biomass decline: reduced vegetative production for different land use*
Bf *detrimental effects of fires (includes low / high severity of fires): on forest (eg slash and burn), bush, grazing and cropland (burning of residues)*
Bs *quality and species composition /diversity decline: loss of natural species, land races, palatable perennial grasses; spreading of invasive, salt-tolerant, unpalatable, species / weeds*
Bl *loss of soil life: decline of soil macro-organisms and micro-organisms in quantity and quality*
Bp *increase of pests / diseases, loss of predators: reduction of biological control*

H: Water degradation

Ha *aridification: decrease of average soil moisture content*
Hs *change in quantity of surface water: change of the flow regime (flood, /peak flow, low flow, drying up of rivers and lakes)*
Hg *change in groundwater / aquifer level: lowering of groundwater table due to over-exploitation or reduced recharge of groundwater; or increase of groundwater table resulting in waterlogging and/or salinisation*
Hp *decline of surface water quality: increased sediments and pollutants in fresh water bodies due to point pollution and land-based pollution*
Hq *decline of groundwater quality: due to pollutants infiltrating into the aquifers*
Hw *reduction of the buffering capacity of wetland areas: to cope with flooding and pollution*

2.2.2.5 **What were the main causes of land degradation (identified in 2.2.2.4)?**

a) Direct causes		Specify
Human induced:		
soil management	◯	.....
crop management (annual, perennial, tree/shrub)	◯	.....
deforestation / removal of natural vegetation (incl. forest fires)	◯	.....
over-exploitation of vegetation for domestic use	◯	.....
overgrazing	◯	.....
industrial activities and mining	◯	.....
urbanisation and infrastructure development	◯	.....
discharges (point contamination of water)	◯	.....
release of airborne pollutants (urban/industry…)	◯	.....
disturbance of water cycle (infiltration / runoff)	◯	.....
over abstraction / excessive withdrawal of water (for irrigation, industry, etc.)	◯	.....
other human induced causes (specify)	◯	.....

	Natural:		
	change in temperature	◯	.....
	change of seasonal rainfall	◯	.....
	Heavy / extreme rainfall (intensity/amounts)	◯	.....
	wind storms / dust storms	◯	.....
	floods	◯	.....
	droughts	◯	.....
	other natural causes (avalanches, volcanic eruptions, mud flows, highly susceptible natural resources, extreme topography, etc.) specify	◯	....
b)	**Indirect causes**		Specify
	population pressure	◯	.....
	land tenure	◯	.....
	poverty / wealth	◯	.....
	labour availability	◯	.....
	inputs and infrastructure: (roads, markets, distribution of water points, other, …	◯	.....
	education, access to knowledge and support services	◯	.....
	war and conflicts	◯	.....
	governance / institutional	◯	.....
	other (specify)	◯	.....
	other (specify)	◯	.....

Causes of degradation
Various types of human activities and natural causes may lead to soil degradation. The emphasis in the degradation inventory is on human-induced degradation, but sometimes natural degradation also necessitates measures to be taken (for definitions refer to Annex 4 / www.wocat.net).

2.2.2.6 **How does the Technology combat land degradation (technical functions)?**

control of raindrop splash		◯
control of dispersed runoff:	retain / trap	◯
	impede / retard	◯
control of concentrated runoff:	retain / trap	◯
	impede / retard	◯
	drain / divert	◯
reduction of slope angle		◯
reduction of slope length		◯
improvement of ground cover		◯
increase of surface roughness		◯
improvement of surface structure (crusting, sealing)		◯
improvement of topsoil structure (compaction)		◯
improvement of subsoil structure (hardpan)		◯
stabilisation of soil (eg by tree roots against land slides)		◯
increase in organic matter		◯
increase in nutrient availability (supply, recycling,…)		◯
increase of infiltration		◯
increase / maintain water stored in soil		◯
increase of groundwater level, recharge of groundwater		◯
water harvesting / increase water supply		◯

water spreading ◯
improvement of water quality, buffering/filtering water ◯
sediment retention / trapping, sediment harvesting ◯
reduction in wind speed ◯
increase of biomass (quantity) ◯
promotion of vegetation species and varieties (quality, eg palatable fodder) ◯
control of fires ◯
reduction of dry material (fuel for wildfires) ◯
spatial arrangement and diversification of land use ◯
others (specify) ..... ◯
..... ◯

2.3 Status

2.3.1 How has the Technology been developed (its origin)?

	several answers possible rank according to importance	traditional (>50 years)	10-50 years	recent (<10 years)
through land user's initiative (innovation, traditional)	◯			
through experiments / research	◯			
externally / introduced through project	◯			
other (specify): ……..	◯			

Comments (eg precise years) .....

.....

*The terms **traditional / indigenous / existing / local** refer to the farmer's own practices. They cover practices in use ever since as well as the ones developed more recently by innovative farmers in response to changing circumstances. Use 'other' when the Technology does not fit any of the given categories and specify which and why it does not fit.*

2.3.2 What level of technical knowledge is required for the implementation of the Technology?

	low	moderate	high	Remarks/comments
field staff / agricultural advisor				
land user				
other specify: …….....				

2.4 Technical drawing

Please provide a comprehensive and detailed drawing (with dimensions) of the SLM Technology and indicate technical specifications, measurements, spacing, gradient, etc., in the box below. It has to match the description given in 2.1.2 and complements the photograph in 2.1.3. Keep the drawing simple and schematic. The technical drawing is crucial for the understanding of the Technology! If the box is not sufficient, use the extra pages at the end of the questionnaire.

Explanation of drawing:

Description: .....

.....

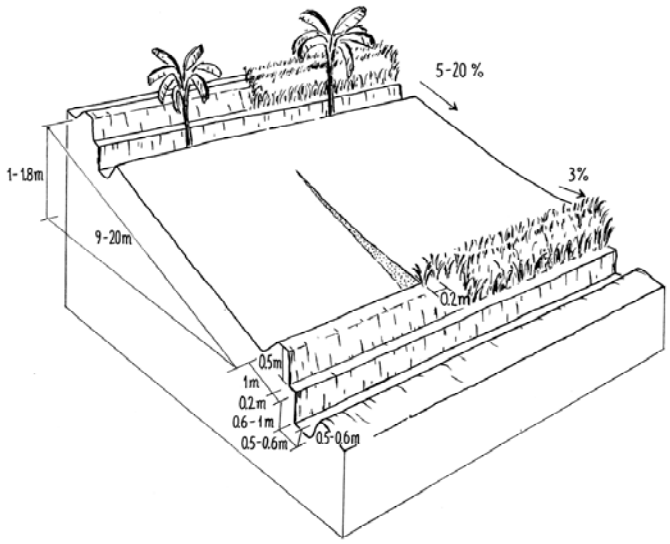
.....

Location: ..... Distr./Prov./State: ..... Date: .....

Author: ..... Address: .....

.....

.....



***Example**: Technical drawing indicating technical specifications, dimensions, spacing*

2.5 Technical specifications, implementation activities, inputs and costs

Notes to implementation activities, inputs and costs

- *A distinction is made between initial establishment (construction, initiation) and maintenance / recurrent annual activities.*
- *List activities and inputs and calculate costs for a typical (most common) situation within your conservation area. Indicate what inputs would cost today.*
- *Indicate all conservation-related activities, inputs and costs (to land users, projects, etc.) of the Technology that are additional to ordinary field operations*
- *In case the ordinary field operations have changed / are part of the Technology (eg conservation agriculture) describe all activities.*
- *In case the objective is to compare two situations ie after / with SLM measures (eg conservation agriculture) and before / without SLM measures (eg. conventional agriculture) fill in two questionnaires (refer to page iii)*
- *Exclude costs for awareness creation, planning, training, research, and financial / material support (these will be addressed in Approach questionnaire 2.3.2.2)*
- *Activities, inputs and costs preferably should be indicated per area (per hectare) to guarantee comparability between different technologies. Include not only the area which is directly covered by conservation measures (eg the area that is covered with stone walls, tree lines, ditches) but also for the area that is indirectly affected / protected by the conservation measures.*
- *Where necessary, inputs and costs can alternatively be calculated per unit (other than ha) such as per entity (eg dam) or per length (eg meter grass strip, meter tone line)*
- *Give US dollar equivalent costs against current exchange rate where possible.*
- *It may be very difficult to determine the costs of a conservation technology. Nevertheless, we ask you to give the best estimate you can!*

If you have indicated only one category in question 2.2.2.2 (on land conservation measures), answer the questions in one of the following sections which corresponds to that category. If you have indicated more than one category in question 2.2.2.2, fill out each corresponding section.

2.5.1 Specifications of agronomic conservation measures

If in question 2.2.2.2 you have indicated that the SLM Technology consists of an agronomic measure, fill out the following section, otherwise go to 2.5.2.

2.5.1.1 Type and layout of agronomic measures

Refer to your drawings in question 2.4. See example below.

Several answers possible	material / species	quantity / density *	remarks (eg alignment / layout)
Vegetation / soil cover:			
better crop cover	.....	.....	.....
early planting	.....	.....	.....
relay cropping	.....	.....	.....
mixed cropping / intercropping	.....	.....	.....
contour planting / strip cropping	.....	.....	.....
cover cropping	.....	.....	.....
retaining more vegetation cover	.....	.....	.....
mulching	.....	.....	.....
temporary trashlines	.....	.....	.....
other (specify)	.....	.....	.....
Organic matter / soil fertility:			
green manure	.....	.....	.....
legume inter-planting	.....	.....	.....
manure / compost / residues	.....	.....	.....
mineral (inorganic) fertilizers	.....	.....	.....
soil conditioners (lime, gypsum)	.....	.....	.....
rotations / fallows	.....	.....	.....
other (specify)	.....	.....	.....
Soil surface / subsurface:			
breaking crust / sealed surface	.....	.....	.....
breaking compacted topsoil	.....	.....	.....
zero tillage / no-till	.....	.....	.....
minimum tillage	.....	.....	.....
non-inversion tillage	.....	.....	.....
contour tillage	.....	.....	.....
contour ridging	.....	.....	.....
furrows (drainage, irrigation)	.....	.....	.....
pits	.....	.....	.....
breaking compacted subsoil	.....	.....	.....
deep tillage / double digging	.....	.....	.....
other (specify)	.....	.....	.....

** quantity / density: t/ha or plants per ha*

Types of agronomic land conservation measures (for more definitions refer to www.wocat .net):

Better crop cover: selecting crops with higher ground cover, increasing plant density, etc.

Relay cropping: specific form of mixed cropping / intercropping in which a second crop is planted into an established stand of a main crop. The second crop develops fully after the main crop is harvested.

Cover cropping: planting close-growing crops (usually annual legumes), mainly to protect the soil, between perennials or in the period between seasons for annual crops.

Removing less vegetation cover: eg cutting less grass, leaving a volunteer crop.

Trashlines: line of crop residues / weeds laid out along the contour to act as a barrier to runoff and erosion. May be allowed to rot and dug into the ground to improve fertility (in this case, it is used as a 'mobile compost strip'), or can provide the basis for a permanent structure.

Mulching: spreading of organic (or other) materials on the surface of the soil around crops to reduce moisture loss, reduce erosion, inhibit weed growth, etc.:

Green manure: a crop grown to be ploughed / incorporated into the ground to increase organic matter content, thereby improving fertility and reducing erodibility.

***Rotations*:** the practice of alternating the annual crops grown on a specific field in a planned pattern or sequence in successive crop years so that crops of the same species or family are not grown repeatedly without interruption on the same field, practiced to replenish soil, and curb pests and diseases.

Zero tillage/no-till: a system where crops are planted into the soil without primary tillage.

Breaking compacted subsoil (hard pans): eg deep ripping, subsoiling. Deep ripping of soil with a tine or similar tool, normally to break a hard pan and / or to improve drainage and infiltration.

Double digging: hand digging the soil up to twice as deep as normally in order to improve drainage, infiltration and rooting characteristics.

2.5.1.2 Activities, inputs and costs for agronomic measures

see explanations under 2.5

Initial investment

Input	Quantity	Total costs local currency	Total costs US$	% borne by land user	No. of parties (sharing)	life-span of product (eg 2 years)

Agronomic measures are per definition recurrent activities which are repeated each season. However, some of them require an initial investment, eg. for special machinery.

Maintenance / recurrent activities

Activity	Timing/ frequency*	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit** (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1.							
2.							
3.							

Activity	Timing/ frequency *	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit** (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
4.							
5.							

Timing: time, at which activity is carried out, eg after harvest of crops, before onset of rains, etc.
Frequency: eg annually, each cropping season, etc.
** ***Unit*****:** preferably hectares (ha) and if not possible, entity (dam) or length (eg. meter of stone line)

Input:

Labour[1]	*Equipment*	*Construction Material*	*Agricultural*
- labour light (person days)	*- machine hours[2] (h)*	*- stone (m3)*	*- seeds (kg)*
- labour medium (person days)	*- animal traction (h)*	*- wood (m3)*	*- seedlings (No.)*
- labour heavy (person days)	*- tools*	*- earth (m3)*	*- fertilizer (kg)*
	- other (specify)	*- other (specify)*	*- biocides (kg or l active ingredient))*
			- compost / manure (kg)
			- other (specify)

[1] The labour cost should be based on the total person days, be they paid or voluntary and the strenuousness of the work done. To calculate the US $ equivalent first indicate daily wage and then multiply the daily wage with the number of person days.
[2] Machine hours: calculation should be based on hiring costs; -- include costs of operation and depreciation

Specify machinery / tools: .....
.....

*Provide **further relevant information** on the agronomic measures in Annex 3*

Example: **Activities, inputs and costs for agronomic measures**

Maintenance / recurrent activities

Activity	Timing/ frequency	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1.Direct seeding/fertilizer (NPK) banding using no-till drill	*Early Nov.*	*labour light*	*8 person days*	*ha*		*80*	*100*
		machine	*6 h*	*ha*		*60*	*0*
		fertilizer	*130 kg*	*ha*		*30*	*0*
2.Leave fields to fallow for 18 months, apply herbicide if needed	*After harvest*	*labour light*	*1 person day*	*ha*		*10*	
		machine	*1 h*	*ha*		*10*	
		herbicide	*4 l*	*ha*		*40*	*0*

2.5.2 Specifications of <u>vegetative</u> conservation measures

If in question 2.2.2.2 you have indicated that the SLM Technology consists of a vegetative measure, fill out the following section, otherwise go to 2.5.3. Refer to your drawings in question 2.4. See example below.
See explanations under 2.5

2.5.2.1 **Type and alignment / layout of vegetative measures**

Several answers possible			between rows / strips / blocks*[2]		within rows / strips / blocks (between plants)	
vegetative measures :	vegetative material *[1]	Number of plants per (ha)	vertical interval (m)	spacing (m)	interval (m)	width (m)
aligned : -contour	.....	.....	.....	.....	.....	.....
-graded strips *[3]	.....	.....	.....	.....	.....	.....
-against wind	.....	.....	.....	.....	.....	.....
-along boundary	.....	.....	.....	.....	.....	.....
-linear	.....	.....	.....	.....	.....	.....
scattered / dispersed	.....	.....	.....	.....	.....	.....
in blocks	.....	.....	.....	.....	.....	.....
others (specify)						
.....	.....	.....	.....	.....	.....	.....
.....	.....	.....	.....	.....	.....	.....
.....	.....	.....	.....	.....	.....	.....

*[1] vegetative material:

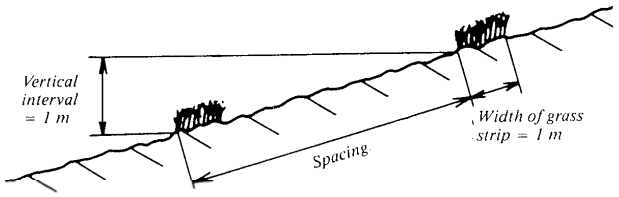
Combinations possible	Specify species and if planted/seeded or naturally reg.:
T : trees / shrubs (eg acacia, perennial fodder and browse spp.)	.....
F : fruit trees / shrubs (eg mango, apple, berries, grapes)	.....
C : perennial crops (eg coffee, tea, alfalfa)	.....
G : grass	.....
O : other	.....

*[2] Indicate slope (which determines the spacing indicated above) : ..... %
(add more details on slope / spacing in Annex 3)
If the original slope has changed as a result of the Technology, the slope today is (see figure below):..... %

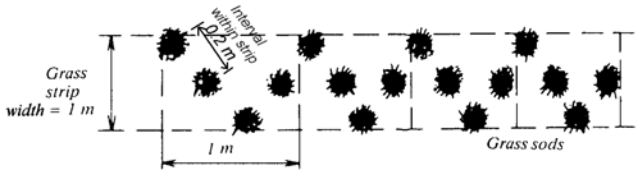
*[3] Indicate the gradient along the rows / strips ..... %

Specifications:

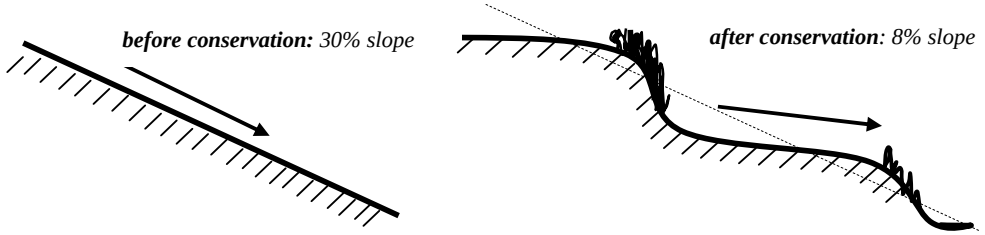
Cross-section:



View from top:



- *Grass strips are planted along the contour or along a cut-off drain.*
- *Spacing with a vertical interval of 1 meter means that on a 3 % slope, grass strips will be 33 m apart, and on a 15 % slope, only 7 m apart, which is, however, still sufficient for ploughing between the strips.*



2.5.2.2 **Activities, inputs and costs for vegetative measures**

Initial establishment

Activity	Timing	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit* (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1.							
2.							
3.							
4.							
5.							

* ***Unit:*** preferably hectares (ha) and if not possible, entity (dam) or length (eg meter of stone line)

Maintenance / recurrent activities

Activity	Timing/ frequency *	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit** (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1.							
2.							
3.							
4.							
5.							

* ***Timing:*** time, at which activity is carried out, eg after harvest of crops, before onset of rains, etc.
Frequency: eg annually, each cropping season, etc.
*****Unit:*** preferably hectares (ha) and if not possible, entity (dam) or length (eg meter of stone line)

Inputs:

Labour[1]
- *labour light (person days)*
- *labour medium (person days)*
- *labour heavy (person days)*

Equipment
- *machine hours[2] (h)*
- *animal traction (h)*
- *tools*
- *other (specify)*

Construction material
- *stone (m3)*
- *wood (m3)*
- *earth (m3)*
- *other (specify)*

Agricultural
- *seeds (kg)*
- *seedlings (No.)*
- *fertilizer (kg)*
- *biocides (kg or l active ingredient))*
- *compost / manure (kg)*
- *other (specify)*

[1] The labour cost should be based on the total person days, be they paid or voluntary. To calculate the US $ Equivalent first indicate daily wage and then multiply the daily wage with the number of person days.
[2] machine hours: calculation should be based on hiring costs; -- include costs of operation and depreciation

Specify machinery / tools: .....
.....

*Provide **further relevant information** on the vegetative measures in Annex 3.*
If vegetative measures are used to stabilise structures also fill out structural measures 2.5.3

Example: **Activities, inputs and costs for vegetative measures**

Initial establishment

Activity	Timing	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1.Layout of contours with the use of an A-frame before land preparation, place wooden pegs along the contours	*during dry season*	*labour light*	*1 person day*	*ha*		*3*	*100*
		pegs	*100*	*ha*		*4*	*100*
2.Initial ploughing along the contour: leaving unploughed strips		*labour medium*	*4 person days*	*ha*		*12*	*100*
		animal traction	*32 h*	*ha*		*40*	*100*
		tools		*ha*		*25*	*100*

2.5.3 Specifications of structural conservation measures

If in question 2.2.2.2 you have indicated that the SLM Technology consists of a structural measure, fill out the following section, otherwise go to 2.5.4. Refer to your drawings in question 2.4. See example below.

2.5.3.1 Type and alignment / layout of structures

Several answers possible

structures	material *[1]	between structures *[2]		dimensions of each structure					
				ditches / pits / dams			bunds / banks / others*[3]		
	E, S, W, C, O	vertical interval (m)	spacing (m)	depth (m)	width (m)	length (m)	height (m)	width (m)	length (m)
diversion ditch/ drainage	.....	.....	.....	.....	.....	.....	.....	.....	.....
waterway	.....	.....	.....	.....	.....	.....	.....	.....	.....
spillway	.....	.....	.....	.....	.....	.....	.....	.....	.....
dam/ pan/ pond*[5]	.....	.....	.....	.....	.....	.....	.....	.....	.....
wall/ barrier *[3]	.....	.....	.....	.....	.....	.....	.....	.....	.....
retention/ infiltration ditch/ pit, sediment/ sand trap	.....	.....	.....	.....	.....	.....	.....	.....	.....
terrace: forward sloping*[2/4]	.....	.....	.....	.....	.....	.....	.....	.....	.....
bench level *[4]	.....	.....	.....	.....	.....	.....	.....	.....	.....
backward sloping*[2/4]	.....	.....	.....	.....	.....	.....	.....	.....	.....
bund/ bank: level	.....	.....	.....	.....	.....	.....	.....	.....	.....
graded *[4]	.....	.....	.....	.....	.....	.....	.....	.....	.....
semi-circular / V shaped									
trapezoidal	.....	.....	.....	.....	.....	.....	.....	.....	.....
reshaping surface	.....	.....	.....	.....	.....	.....	.....	.....	.....
other:	.....	.....	.....	.....	.....	.....	.....	.....	.....
other:	.....	.....	.....	.....	.....	.....	.....	.....	.....
other:	.....	.....	.....	.....	.....	.....	.....	.....	.....

*[1] Indicate construction material and specify:

Combinations possible	specify / comments
E: earth	.....
S: stone	.....
W: wood	.....
C: concrete	.....
O: other	.....

*[2] Indicate slope (which determines the spacing indicated above): ..... %
(add more details on slope / spacing in Annex 3)

If the original slope has changed as a result of the Technology the slope today is (see figure below):..... %

*[3] eg artificial windbreaks (palisades)

*[4] Indicate the lateral gradient along the structure: ..... %

*[5] capacity: …….. m3; catchment area: ……...; beneficial area (eg where water is applied, area where T. has an effect): ……; slope of: dam wall inside…….%, dam wall outside…….%; dimensions of spillways: …… m; other specifications: …….

For water harvesting: the ratio between the area where the harvested water is applied and the total area from which water is collected is: **1 :** .....

Is vegetation used for stabilisation of structures? no yes

If yes, also fill out vegetative measures 2.5.2

Different types of structural conservation measures

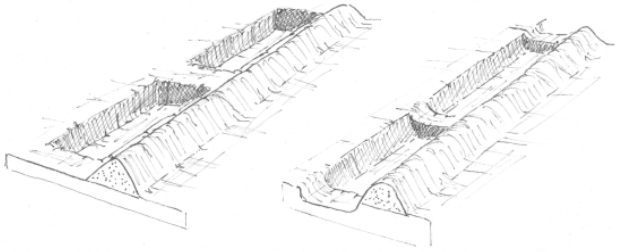
Diversion ditch / drainage: *a graded channel with a supportive ridge or bank on the lower side. It is constructed across a slope and designed to intercept surface runoff and convey it safely to an outlet or waterway.*

Waterways: *are needed to conduct runoff safely from hill slo*

Retention / infiltration ditches: *large ditches designed to catch and retain all incoming runoff and hold it until it infiltrates into the ground.*

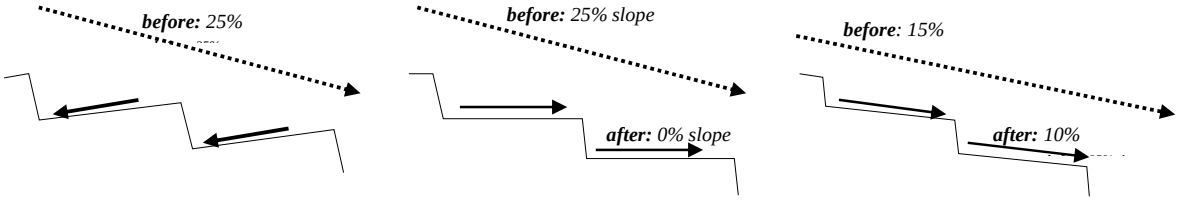
Pits: *planting holes (for example those used widely in the West African Sahel).*

Sediment / sand trap: *device (either an above ground barrier or a dam wall) built specifically to trap sand or sediments moving in the wind or in water flow.*



Dam / pan / pond: *blockage of watercourse or excavation at a low spot of land to collect water for various purposes.*

Terraces: *involve a more or less permanent change in slope profile.*

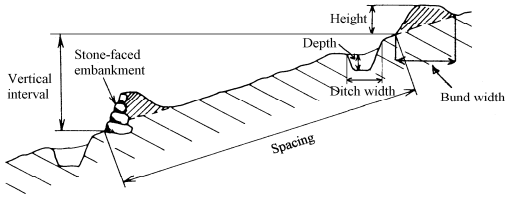


backward sloping bench terrace *level bench terrace* *forward sloping bench terrace*

Level bund / bank: *an embankment along the contour made of soil and / or stones with a basin at its upper or lower side. They often develop into forward sloping terraces.*
Graded bund: *same definition as for level bund, with the only difference that it is slightly graded (with a gradient of up to 1%) towards a waterway or river.*

Walls, barriers: *physical obstacles to movement of soil or sand, eg artificial windbreaks (palisades). Can be made from various materials.*

A cross-section of a bund and ditch: *semi-circular bunds:* *trapezoidal bunds:*



Example: **Type and alignment / layout of structures**

Several answers possible	material *[1]	between structures *[2]		dimensions of each structure					
				ditches / pits / dams			bunds / banks / others*[3]		
structures	E, S, W, C, O	vertical interval (m)	spacing (m)	depth (m)	width (m)	length (m)	height (m)	width (m)	length (m)
diversion ditch / drainage ☑	*E, S*		*100*	*0,8*	*0,6*	*60*	*0,8*	*1,5*	*60*
waterway	.....	.....	.....	.....	.....	.....	.....	.....	.....
retention / infiltration ditch / pit, sediment / sand trap	.....	.....	.....	.....	.....	.....	.....	.....	.....
dam / pan / pond	.....	.....	.....	.....	.....	.....	.....	.....	.....
terrace: forward sloping*[2/4] ☑	*E, S*	*3*	*10*	*0,3*	*0,5*	*5*	*0,3*	*1,0*	*30*
bench level *[4]	.....	.....	.....	.....	.....	.....	.....	.....	.....
backward sloping *[2/4]	.....	.....	.....	.....	.....	.....	.....	.....	.....

*[1] Indicate construction material and specify:

Combinations possible

E: earth
S: stone
W: wood

specify / comments:

soil excavated from the ditches is used to build banks
the cut-off drain is lined with stones, embankment with stones
.....

*[2] Indicate slope (which determines the spacing indicated above):..... *30*..... % (add more details on slope / spacing in Annex 3)
If the original slope has changed as a result of the Technology the slope today is (see figure below): .... *8*... %

*[3] eg artificial windbreaks (palisades)

*[4] Indicate the lateral gradient along the structure: ..... *0*..... %

For water harvesting: the ratio between the area where water is applied and the total area from which water is collected is: **1 :**

Is vegetation used for stabilisation of structures? no yes ☑

2.5.3.2 **Activities, inputs and costs for structural measures**

Initial construction

Activity	Timing	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit* (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1.							
2.							
3.							
4.							
5.							

* ***Unit:*** preferably hectares (ha) and if not possible, entity (dam) or length (eg meter of stone line)

Maintenance / recurrent activities

Activity	Timing / frequency *	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit** (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1.							
2.							
3.							
4.							
5.							

**** Timing:*** *time, at which activity is carried out, eg after harvest of crops, before onset of rains, etc.*
Frequency: *eg annually, each cropping season, etc.*
*****Unit:*** preferably hectares (ha) and if not possible, entity (dam) or length (eg meter of stone line)

Inputs:

Labour[1]	*Equipment*	*Construction material*	*Agricultural*
- labour light (person days)	*- machine hours[2] (h)*	*- stone (m3)*	*- seeds (kg)*
- labour medium (person days)	*- animal traction (h)*	*- wood (m3)*	*- seedlings (No.)*
- labour heavy (person days)	*- tools*	*- earth (m3)*	*- fertilizer (kg)*
	- other (specify)	*- other (specify)*	*- biocides (kg or l active ingredient))*
			- compost / manure (kg)
			- other (specify)

[1] The labour cost should be based on the total person days, be they paid or voluntary. To calculate the US $ Equivalent first indicate daily wage and then multiply the daily wage with the number of person days.
[2] Machine hours: calculation should be based on hiring costs; -- include costs of operation and depreciation.

Specify machinery / tools: .....
.....

*Provide **further relevant information** on the structural measures in Annex 3*

***Example*: Activities, inputs and costs for structural measures**

Initial construction

Activity	Timing	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1. Farmers cut into the hillside with hoes and drag the soil down to form the risers and level terrace beds	*Dry season*	*labour heavy*	*100 person days*	*ha*		*216*	*100*
		tools (hand hoe)				*5*	*100*
2.Risers are then stabilized and compacted by hoe	*Dry season*	*labour medium*	*25 person days*	*ha*		*54*	*100*
		tools (hand hoe)(					

2.5.4 Specifications of management conservation measures

If in question 2.2.2.2 you have indicated that the SLM Technology consists of a management measure, fill out the following section, otherwise go to 2.6. If management measures include improved vegetation cover, fill also 2.5.2 specifications of vegetative conservation measures. Refer to your drawings in question 2.4. See example below.

2.5.4.1 Type of management

Several answers possible	specify:
change of land use type	.....
change of land use practices / intensity level	.....
layout change according to natural and human environment	.....
major change in timing of activities	.....
control / change of species composition	.....
other	.....

Types of management measures
Change of major land use type: *eg enclosure / resting, protection, change from cropland to grazing land, from forest to agroforestry, from grazing land to cropland, from grazing land to forest (afforestation), etc.*
Change of land use practices / intensity level: *eg change from grazing to cutting (for stall feeding), farm enterprise selection (degree of mechanisation, inputs, commercialisation), from mono-cropping to rotational cropping, from continuous cropping to managed fallow, from laissez-faire to managed, from random (open access) to controlled access (grazing land, forest land, eg access to firewood), from herding to fencing, adjusting stocking rates, staged / staggered use) to minimise exposure to degradation processes (eg staged excavation).*
Layout change according to natural environment and human environment/needs: *eg exclusion of natural waterways and hazardous areas, separation of grazing types, distribution of water points, salt-licks, livestock pens, dips (grazing land); increase of landscape diversity, forest aisle.* ***Major change in timing of activities:*** *eg land preparation, planting, cutting of vegetation.*
Control / change of species composition (not annually or in a rotational sequence: if annually or in a rotational sequence eg on cropland give details in 2.5.2.1): *eg reducing invasive species, selective clearing, encouraging desired / introducing new species, controlled burning (eg prescribed fires in forests / on grazing land)/ residue burning.*

2.5.4.2 Activities, inputs and costs for management measures

Initial establishment

Activity	Timing	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit* (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1.							
2.							
3.							
4.							

Initial establishment

Activity	Timing	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit* (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
5.							

* ***Unit:*** preferably hectares (ha) and if not possible, entity (dam) or length (eg meter of stone line)

Maintenance / recurrent activities

Activity	Timing/ frequency *	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit** (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1.							
2.							
3.							
4.							
5.							

**** Timing:*** *time, at which activity is carried out, eg after harvest of crops, before onset of rains, etc.*
Frequency: *eg annually, each cropping season, etc.*
****Unit:*** preferably hectares (ha) and if not possible, entity (dam) or length (eg meter of stone line)

Inputs:

Labour[1]	*Equipment*	*Construction material*	*Agricultural*
- labour light (person days)	*- machine hours[2] (h)*	*- stone (m3)*	*- seeds (kg)*
- labour medium (person days)	*- animal traction (h)*	*- wood (m3)*	*- seedlings (No.)*
- labour heavy (person days)	*- tools*	*- earth (m3)*	*- fertilizer (kg)*
	- other (specify)	*- other (specify)*	*- biocides (kg or l active ingredient))*
			- compost / manure (kg)
			- other (specify)

[1] The labour cost should be based on the total person days, be they paid or voluntary. To calculate the US $ Equivalent first indicate daily wage and then multiply the daily wage with the number of person days.
[2] machine hours: calculation should be based on hiring costs; -- include costs of operation and depreciation

Specify machinery / tools: .....
.....

*Provide **further relevant information** on the management measures in Annex 3.*

***Example*: Activities, inputs and costs for management measures**

Initial establishment

Activity	Timing	Input *select from list below*	Quantity (person days, no., kg, l, etc)	Unit* (ha, m, dam)	Total costs local currency	Total costs US$	% borne by land user
1. Introduction of social fencing system							
2. Construction of: a series of staggered contour trenches on slopes, stone/earth/wood check dams in gullies, graded stabilization channels which capture runoff,		*labour heavy*	*70 person days*	*ha*		*140*	*5*
		machines	*30 h*	*ha*		*70*	*0*
		wood	*1000 kg*	*ha*		*5*	*0*
		stones	*3000 kg*	*ha*			
3. Construction earth dam wall for water harvesting and concrete pipelines for irrigation		*labour medium*	*50 person days*	*ha*		*100*	*5*
		machines	*40 h*	*ha*		*55*	*0*
		earth	*700 m^3*	*ha*		*20*	*0*
		pipelines	*4*	*20 ha*			
4. Enrichment planting of tree seedlings on bunds and hill slopes		*labour medium*	*5 person days*	*ha*		*10*	*5*
		seedlings	*200*	*ha*		*50*	*0*

2.6 Overview of costs

In 2.5.1, 2.5.2, 2.5.3, 2.5.4 you indicated the costs for agronomic, vegetative, structural and management measures. Please add up the totals for the different inputs and insert them into the cost summary table below.
For comparison reason, convert all costs into US$ per hectare. If still not possible specify unit (eg. dam)

Indicate exchange rate used: 1 US$ equals .....…….; **Name of local currency:** .....
Indicate daily wage cost of hired labour to implement conservation measures: .....……...US$ per person per day

2.6.1 Establishment and maintenance / recurrent costs

Average costs (in **US$)**

Inputs	**Establishment costs*[1]**		% of costs borne by land user	**Maintenance / recurrent costs (annual)**		% of costs borne by land user
	per unit	**per hectare**		**per unit**	**per hectare**	
Labour (person days) (voluntary and paid)	.....	.....	.....	.....	.....	.....
Equipment						
machine hours (h)	.....	.....	.....	.....	.....	.....
animal traction (h)	.....	.....	.....	.....	.....	.....
tools	.....	.....	.....	.....	.....	.....
other (specify):						
.....	.....	.....	.....	.....	.....	.....
Construction material						
stone (m^3)	.....	.....	.....	.....	.....	.....
wood (m^3)	.....	.....	.....	.....	.....	.....
earth (m^3)	.....	.....	.....	.....	.....	.....
other (specify):						
.....	.....	.....	.....	.....	.....	.....
Agricultural						
seeds (kg)	.....	.....	.....	.....	.....	.....
seedlings (No.)	.....	.....	.....	.....	.....	.....
fertilizer (kg)	.....	.....	.....	.....	.....	.....
biocides (l or kg active ingredient)	.....	.....	.....	.....	.....	.....
compost/manure (l or kg)	.....	.....	.....	.....	.....	.....
other (specify):						
.....	.....	.....	.....	.....	.....	.....
Others (specify):						
.....	.....	.....	.....	.....	.....	.....
.....	.....	.....	.....	.....	.....	.....
.....	.....	.....	.....	.....	.....	.....
	Total *[2] =	..... US$	.....%	**Total *[2] =**	.....US$	.....%

*[1] Indicate duration of establishment phase: ..... month(s)
*[2] Indicate the total costs and percentage borne by land users even if you cannot give the details above!!!

2.6.2 Describe the most determinate factors affecting the costs (eg slope, soil depth, labour etc.)

.....

.....

.....

.....

Indicate for which situation the above costs in 2.6.1 were calculated (eg length of structure, wind breaks, grass strips, etc. per ha of land affected / protected), indicate the date for which the costs apply and give additional comments

.....

.....

.....

.....

.....

2.7 Natural environment

Give details of the natural (bio-physical) conditions where the SLM Technology is applied.

◯ ***Circles always require ranking!*** *It is possible to give more than one option the same rank.*
Use only ranks 1, 2 or 3 (1 = very important / large extent; 2 = important / medium extent; 3 = less important / little extent)
Make use of the specify/remark/comments column or line as much as possible!

	***Rank** according to areal extent (max. 2 circles per question)*	**Comments**
2.7.1 Average annual rainfall		Indicate average annual rainfall and seasonality (eg monsoon, winter-/ summer rains)/ length of dry periods if known.
< 250 mm	◯	.....
250-500 mm	◯	.....
500-750 mm	◯	.....
750-1000 mm	◯	.....
1000-1500 mm	◯	.....
1500-2000 mm	◯	.....
2000-3000 mm	◯	.....
3000-4000 mm	◯	.....
> 4000 mm	◯	.....
2.7.2 Agro-climatic zone		
humid	◯	.....
subhumid	◯	.....
semi-arid	◯	.....
arid	◯	.....

Agro-climatic zone

- ***Humid:*** *length of growing period (LGP) > 270 days*
- ***Subhumid:*** *LGP 180 – 269 days*
- ***Semi-arid:*** *LGP 75 – 179 days*
- ***Arid:*** *LGP 0 – 74 days*

The length of growing period (LGP) is defined as the period when precipitation > 0.5 PET (potential evapotranspiration) and the temperature > 6.5° C.

2.7.3 Thermal climate classification		
tropics	◯	.....
subtropics	◯	.....
temperate	◯	.....
boreal	◯	.....
polar/arctic	◯	.....

Thermal climate classes *(all temperatures indicated as monthly mean temperatures corrected to sea level)*

- ***Tropics****: All months above 18° C*
- ***Subtropics****: One or more than one month below 18° C but above 5° C*
- ***Temperate****: At least 1 month with monthly mean temperatures below 5° C and 4 or more months above 10° C*
- ***Boreal****: At least one month below 5° C and more than one but below four months above 10° C*
- ***Polar / arctic:*** *All months below 10° C*

Source (FAO 2000)

2.7.4 Number of growing seasons per year

1 2 3

growing period:	length in days (approximately)	from which month to which month:
longest	.....	.....
2nd longest	.....	.....

***Number of growing seasons per year**: A growing season is a period of time where there is sufficient rainfall and moisture in the soil as well as high enough temperatures to grow a crop. A growing season can have several crops following each other.*

2.7.5 Under climatic extremes the Technology is tolerant of or sensitive to:

	tolerant	sensitive	not known
temperature increase			
seasonal rainfall increase			
seasonal rainfall decrease			
heavy rainfall events (intensities and amount)			
windstorms / dust storms			
floods			
droughts / dry spells			
decreasing length of growing period			
others (specify):…….			

If the Technology was modified to become more tolerant give details of adaptive changes (design, material/species) *or* Indicate how the Technology could be modified to become more tolerant (design, material/species): .....
.....
.....
.....
.....
.....

	***Rank** according to areal extent (max. 2 circles per question)*	**Comments**
2.7.6 Altitudinal zonation		
0-100 m a.s.l.	◯	.....
100-500 m a.s.l.	◯	.....
500-1000 m a.s.l.	◯	.....
1000-1500 m a.s.l.	◯	.....
1500-2000 m a.s.l.	◯	.....
2000-2500 m a.s.l.	◯	.....
2500-3000 m a.s.l.	◯	.....
3000-4000 m a.s.l.	◯	.....
> 4000 m a.s.l.	◯	.....

	Rank according to areal extent (max. 2 circles per question)	**Comments**
2.7.7 Landforms		Indicate if Technology is specifically applied in convex or concave situations
plateau / plains	◯	.....
ridges	◯	.....
mountain slopes	◯	.....
hill slopes	◯	.....
footslopes	◯	.....
valley floors	◯	.....

***Landforms** (modified after ISRIC 1993):*

- ***Plateau / plains:** extended level land (slopes less than 8 %).*
- ***Ridges:** narrow elongated area rising above the surrounding area, often hilltops or mountain-tops.*
- ***Mountain slopes** (including major escarpments): extended area with altitude differences of more than 600 m per 2 km and slopes greater than 15 %.*
- ***Hill slopes** (including valley and minor escarpment slopes): altitude difference of less than 600 m per 2 km and slopes greater than 8 %.*
- ***Footslopes:** zone bordering steeper mountain / hill slopes on one side and valley floors / plains / plateaus on the other side.*
- ***Valley floors:** elongated strips of level land (less than 8 % slope), flanked by sloping or steep land on both sides.*

***convex:** swell (diversion of water flow)*
***concave:** depression (conversion of water flow)*

*Some of the following 'environmental' conditions (questions 2.7.8. – 2.7.18) may change as a result of the SLM Technology! However, **describe the conditions without any impact of land conservation!***

2.7.8 Slopes on average			
flat	(0-2 %)	◯	.....
gentle	(2-5%)	◯	.....
moderate	(5-8%)	◯	.....
rolling	(8-16%)	◯	.....
hilly	(16-30%)	◯	.....
steep	(30-60%)	◯	.....
very steep	(>60%)	◯	.....

Slope gradient conversion table:

Slope in percent	Slope in degrees
2 %	1 °
5 %	3 °
8 %	5 °
16 %	9 °
30 %	17 °
60 %	31 °
100 %	45 °

	Rank according to areal extent (max. 2 circles per question)	Comments
2.7.9 Soil depth on average		
very shallow (0-20 cm)	◯	.....
shallow (20-50 cm)	◯	.....
moderately deep (50-80 cm)	◯	.....
deep (80-120 cm)	◯	.....
very deep (>120 cm)	◯	.....
2.7.10 Soil texture		
coarse / light (sandy)	◯	.....
medium (loam)	◯	.....
fine / heavy (clay)	◯	.....
2.7.11 Soil fertility		
very high	◯	.....
high	◯	.....
medium	◯	.....
low	◯	.....
very low	◯	.....
2.7.12 Topsoil organic matter		
high (>3%)	◯	.....
medium (1-3%)	◯	.....
low (<1%)	◯	.....
2.7.13 Soil drainage / infiltration		
good	◯	.....
medium	◯	.....
poor (eg sealing /crusting)	◯	.....
2.7.14 Soil water storage capacity		
very high	◯	.....
high	◯	.....
medium	◯	.....
low	◯	.....
very low	◯	.....

	Rank according to areal extent (max. 2 circles per question)	**Comments**
2.7.15 Ground water table		
on surface	◯	.....
< 5 m	◯	.....
5 – 50 m	◯	.....
> 50 m	◯	.....
2.7.16 Availability of surface water		describe seasonal fluctuations
excess (eg flood)	◯	.....
good	◯	.....
medium	◯	.....
poor / none	◯	.....
2.7.17 Water quality (untreated)		describe seasonality and source (ground-/ surface water)
good drinking water	◯	.....
poor drinking water	◯	.....
for agricultural use only	◯	.....
unusable	◯	.....
2.7.18 Biodiversity (species/habitat richness)		specify
high	◯	.....
medium	◯	.....
low	◯	.....

2.8 Human environment and land use

Provide data for the land users who apply the Technology

2.8.1 Land users applying the Technology

tick one option per line

Individual/household	groups / community	cooperative	employee (company, government)
Small scale land users	medium scale land users		large scale land users
Leaders / privileged	common / average land users		disadvantaged land users
Mainly women	mainly men		mixed

If there is a difference in the involvement of women and men, explain the reasons and roles:.....

.....

.....

2.8.2 Population density

< 10 persons/km^2	100-200 persons/km^2
10-50 persons/km^2	200-500 persons/km^2
50-100 persons/km^2	> 500 persons/km^2

2.8.3 Annual population growth

negative	specify ..... %
< 0.5 %	
0.5 % -1 %	
1 % -2 %	
2 % -3 %	
3 % -4 %	
> 4 %	specify ..... %

2.8.4 Who owns the land and what are the land and water use rights?

rank according to areal extent (max. 2 circles per question)

Land ownership		**Rights:**	**Land use rights**	**Water use rights***
state	◯	open access (unorganised)	◯	◯
company	◯	communal (organised)	◯	◯
communal / village	◯	leased	◯	◯
group	◯	individual	◯	◯
individual, not titled	◯	other (specify):	◯	◯
individual, titled	◯			
other (specify):.....	◯			
.....				

Comments: .....

.....

* if water use rights are relevant

Land ownership *is the type of land possession, while* *land use rights* *refer to the access to land.*

Land use rights / water use rights:

- *Open access: means free for all.*
- *Communal (organised): means subject to community-agreed management rules.*
- *Leased: right to use land for a limited period of time against payment (contract).*
- *Individual: right of use by single user.*

2.8.5 Relative level of wealth

	How wealthy are the land users **who apply the SLM Technology**? *(rank and specify)*	What % of the land users in the area fall into the following categories?	What % of the total land area does each category own?
very rich	◯	.....%	.....%
rich	◯	.....%	.....%
average	◯	.....%	.....%
poor	◯	.....%	.....%
very poor	◯	.....%	.....%
		100%	100%

Wealth: *For classification in your area please use local instead of international standards.*

2.8.6 How significant is off-farm income for the land users who apply the SLM Technology?

less than 10% of all income 10-50% > 50%

Specify (eg compared to land users who have not implemented conservation measures): .....

.....

.....

Off-farm income: *income other than from the use of cropland, grazing land, forest and mixed land (eg business, trade, manufacturing, industry).*

2.8.7 Access to services and infrastructure:

	low	moderate	high
health			
education			
technical assistance			
employment (eg off-farm)			
market			
energy			
roads & transport			
drinking water and sanitation			
financial services			
other (specify): ……..			

2.8.8 <u>For cropland and cropland mixed with another land use type:</u> under which of the following conditions is the Technology applied?

If the Technology is not applied on cropland (incl. mixed land), go to question 2.8.9.

2.8.8.1 **Market orientation of production system**

		comments
subsistence (self-supply)	◯	.....
mixed (subsistence and commercial)	◯	.....
commercial / market	◯	.....
other:	◯	.....
other:	◯	.....

Is production subsidised? no yes, little yes, moderately yes, highly

Subsidy: *a subsidy is an instrument used by the state or by private actors to reduce the costs of a product or increase the returns from a particular activity (Kerr, 1994). It may be provided in cash or in kind and usually serves a specific purpose.*

2.8.8.2 **How is land cultivation performed?**

		comments
manual labour	◯	.....
animal traction	◯	.....
mechanised	◯	.....

2.8.8.3 **Type of cropping system and major crops**

		major cash crop	major food crop	other
annual cropping	◯	.....	.....	.....
perennial (non-woody) cropping	◯	.....	.....	.....
tree/shrub cropping	◯	.....	.....	.....
mixed (different land use types on same land unit, eg agroforestry, agropastoralism):				
specify:.....	◯	.....	.....	.....
specify:.....	◯	.....	.....	.....
Other, specify:	◯	.....	.....	.....

Comments: ……...
……

For definitions see page QT7

2.8.8.4 **Water supply**

rainfed ◯ post-flooding ◯ mixed rainfed - irrigated ◯ full irrigation ◯

Rainfed: *crop(s) establishment and development is completely determined by rainfall.*
Post-flooding: *after rainwater has naturally flooded the field (eg in Wadis, river banks), the water infiltrated into the soil is used intentionally as a water reserve for crop cultivation. The crop(s) use(s) this water reserve for establishment.*
Mixed rainfed – irrigated: *the application of a limited amount of water to the crop when rainfall fails to provide sufficient water for plant growth, to increase and stabilise yield; the additional water alone is inadequate for crop production.*
Full irrigation: *any of several means of an artificial regular supply of water, in addition to rain, to the crop(s).*

2.8.8.5 **Livestock**

Is livestock grazing on crop residues: no yes little yes

If considered important also fill in section 2.8.9 (mixed system)

2.8.8.6 **Size of cropland per household**

		comments
< 0.5 ha	◯	.....
0.5-1 ha	◯	.....
1-2 ha	◯	.....
2-5 ha	◯	.....
5-15 ha	◯	.....
15-50 ha	◯	.....
50-100 ha	◯	.....
100-500 ha	◯	.....
500-1,000 ha	◯	.....
1,000–10,000 ha	◯	.....
>10,000ha	◯	.....

Size of cropland: all cultivated area used per household, not just where Technology is applied

*Provide **further relevant information** about the cropland systems (eg trends in agronomic or vegetative practices) in Annex 3.*

2.8.9 <u>For grazing land and grazing land mixed with another land use type</u>: under which of the following conditions is the Technology applied?

If Technology is not applied on grazing land (including mixed land), go to question 2.8.10. For definitions of land use types see page QT7.

2.8.9.1 **Market orientation of production system**

		comments
subsistence (self-supply)	◯	.....
mixed (subsistence and commercial)	◯	.....
commercial / market	◯	.....
other:	◯	.....

Is production subsidised? no yes, little yes, moderately yes, highly

***Subsidy:** a subsidy is an instrument used by the state or by private actors to reduce the costs of a product or increase the returns from a particular activity (Kerr, 1994). It may be provided in cash or in kind and usually serves a specific purpose.*

2.8.9.2 **Type of grazing system**

		main livestock species* / secondary livestock species
extensive grazing land:		
- nomadism	◯	.....
- semi-nomadism / pastoralism	◯	.....
- ranching	◯	.....
intensive grazing land		
- cut-and-carry/zero grazing	◯	.....
- improved pasture	◯	.....
mixed: (eg agro-pastoralism, silvo-pastoralism)	◯	.....
specify:	◯	.....

* if wildlife is major part of the grazing system list species

Comments: ……
……

Extensive grazing land: *grazing on natural or semi-natural grasslands, grasslands with trees / shrubs (savannah vegetation) or open woodlands for livestock and wildlife.*

- ***Nomadism:*** *people move with animals.*
- ***Semi-nomadism / pastoralism:*** *animal owners have a permanent place of residence where supplementary cultivation is practiced. Herds are moved to distant grazing grounds.*
- ***Ranching:*** *grazing within well-defined boundaries, movements cover smaller distances and management inputs are higher compared to semi-nomadism.*

Intensive grazing land: *grass production on improved or planted pastures, including cutting for fodder material (for livestock production*).

- ***Cut-and-carry/zero grazing:*** *Carrying fodder to animals confined to a stall / shed or another restricted area; in zero grazing systems the livestock are not permitted to graze at any time*
- ***Improved pasture:*** *pasture that is sown with a mixture of introduced grasses and legumes (can be fertilized and/or inoculated with rhizobia to fix nitrogen). (http://www.environment.gov.au/soe/2001/land/glossary.html)*
- *Definitions for mixed land: see page QT7*

2.8.9.3 **Water supply**:

rainfed ◯ post-flooding ◯ mixed rainfed - irrigated ◯ full irrigation ◯

2.8.9.4 **Livestock density**

< 1 LU/km^2	25-50 LU /km^2
1-10 LU /km^2	50-100 LU /km^2
10-25 LU /km^2	> 100 LU /km^2

Livestock unit (LU) is a standardized animal unit obtained by multiplying total number of animals with a conversion factor that takes into account 'feed requirements' per animal (cattle: 0.7, sheep/goats 0.1, pigs, 0.25, camels 1.1). Source (FAO 2000)

2.8.9.5 **Size of grazing land per household**

		comments
< 0.5 ha		
0.5-1 ha	◯	.....
1-2 ha	◯	.....
2-5 ha	◯	.....
5-15 ha	◯	.....
15-50 ha	◯	.....
50-100 ha	◯	.....
100-500 ha	◯	.....
500-1,000 ha	◯	.....
1,000-10,000 ha	◯	.....
>10,000ha	◯	.....

Size of grazing land: all grazing area used per household, not just where Technology is applied.

*Provide **further relevant information** about the grazing land system and livestock production (eg trends in use of area closure, stall feeding, herd ownership etc.) in Annex 3.*

2.8.10 For forest / woodland: under which of the following conditions is the Technology applied?

If Technology is not applied on forest / woodland, go to question 2.8.11; for definitions of land use types see page QT7.

***Agroforestry systems** are treated under the previous cropland or grazing land sections.*

2.8.10.1 **Market orientation of production system**

		comments
subsistence (self-supply)	◯	.....
mixed (subsistence and commercial)	◯	.....
commercial / market	◯	.....
other (specify) .....….....	◯	.....
other (specify)	◯	.....

Is production subsidised? no yes, little yes, moderately yes, highly

***Subsidy:** a subsidy is an instrument used by the state or by private actors to reduce the costs of a product or increase the returns from a particular activity (Kerr, 1994). It may be provided in cash or in kind and usually serves a specific purpose.*

2.8.10.2 **Type of forest / woodland uses**

		problems / comments (eg cutting frequency)
selective felling of (semi-) natural forests	◯	.....
clear felling of (semi-)natural forests	◯	.....
plantation forestry	◯	.....
shifting cultivation	◯	.....
other (specify)	◯	.....
other (specify)	◯	.....

Comments: ……
…….

2.8.10.3 **For what purpose do land users use forests and woodlands?**

timber	◯
fuelwood	◯
fruits and nuts	◯
grazing / browsing	◯
other forest products / uses (honey, medical, etc.)	◯
nature conservation / protection	◯
recreation / tourism	◯
protection against natural hazards	◯
other (specify)	◯

2.8.10.4 **Size of forest / woodland area per household**

		comments
< 0.5 ha		
0.5-1 ha	◯	.....
1-2 ha	◯	.....
2-5 ha	◯	.....
5-15 ha	◯	.....
15-50 ha	◯	.....
50-100 ha	◯	.....
100-500 ha	◯	.....
500-1,000 ha	◯	.....
1,000-10,000 ha	◯	.....
> 10,000ha	◯	.....

Size of forest / woodland: all forest area / woodland used per household, not just where Technology is applied

*Provide **further relevant information** about the forest / woodlands (including trends in management, replanting etc.) in Annex 3.*

2.8.11 For <u>other land</u>: under which of the following conditions is the Technology applied?

If Technology is not applied on other land, go to part 3

2.8.11.1 **What are the types of other land and what are their major management constraints?**

		specify	major constraints
mines and extractive industries	◯	.....	.....
settlement / urban	◯	.....	.....
infrastructure network (roads, railways, pipe lines, power lines)	◯	.....	.....
wastelands / deserts / glaciers / swamps	◯	.....	.....
recreation	◯	.....	.....
other (specify):			
.....	◯	.....	.....
.....	◯	.....	.....

Definitions: page QT7

*Provide **further relevant information** about other land (eg trends in use etc.) in Annex 3.*

PART 3: ANALYSIS OF THE SLM TECHNOLOGY

Many criteria can be used for the analysis of land conservation. In Part 3 selected criteria are presented, but additional analysis could be done based on Part 2.

3.1 Impacts: benefits and disadvantages

3.1.1 Indicate the <u>on-site benefits</u> the Technology has shown. *Tick and quantify / specify if possible.*

***Negligible, little, medium** and **high** are arbitrary terms. **Negligible** can mean „no significant benefit" or even a disadvantage. In case of a disadvantage provide details in 3.1.3 and 3.1.4.*
Make use of the specify/remarks/comments column to show evidence and justify your selection as much as possible. 10% increase (eg of yield) might be judged as a great improvement, nevertheless tick the category little (5-20%), and use "specify / comments" to explain.
Only indicate quantity (before/after) if impacts are measured / based on surveys

Several answers possible	**negligible (0-5%)**	**little (5-20%)**	**medium (20-50%)**	**high (>50%)**	**quantify** (indicate unit) **before conserv.**	**quantify** (indicate unit) **after conserv.**	**specify / comments**
3.1.1.1 **Production and socio-economic benefits**							
increased crop yield					.....	.....	.....
increased fodder production					.....	.....	.....
increased fodder quality					.....	.....	.....
increased animal production					.....	.....	.....
increased wood production					.....	.....	.....
reduced risk of production failure					.....	.....	.....
increased drinking / household water availability / quality					.....	.....	.....
increased water availability / quality for livestock					.....	.....	.....
increased irrigation water availability / quality					.....	.....	.....
reduced demand for irrigation water					.....	.....	.....
reduced expenses on agricultural inputs					.....	.....	.....
increased farm income					.....	.....	.....
diversification of income sources					.....	.....	.....
increased production area (new land under cultivation / use)					.....	.....	.....
decreased labour constraints					.....	.....	.....
decreased workload					.....	.....	.....
simplified farm operations					.....	.....	.....
increased product diversification					.....	.....	.....
others (specify):					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....

☑ ***Square boxes must be ticked!*** *If 'Several answers possible' is not indicated tick only one box!*
Make use of the specify/remark/comments column or line as much as possible!

Several answers possible	**negligible (0-5%)**	**little (5-20%)**	**medium (20-50%)**	**high (>50%)**	**quantify** (indicate unit) **before conserv.**	**quantify** (indicate unit) **after conserva.**	**specify / comments**
3.1.1.2 **Socio-cultural benefits**							
improved cultural opportunities (eg spiritual, aesthetic, others)					.....	.....	.....
increased recreational opportunities					.....	.....	.....
community institution strengthening					.....	.....	.....
national institution strengthening					.....	.....	.....
improved conservation / erosion knowledge					.....	.....	.....
conflict mitigation					.....	.....	.....
improved situation of socially and economically disadvantaged groups (gender, age, status, ethnicity etc)					.....	.....	.....
improved food security / self-sufficiency (reduced dependence on ext. support)					.....	.....	.....
improved health					.....	.....	.....
others (specify):					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....
3.1.1.3 **Ecological benefits**							
increased water quantity					.....	.....	.....
increased water quality					.....	.....	.....
improved harvesting / collection of surface runoff					.....	.....	.....
increased soil moisture					.....	.....	.....
reduced evaporation					.....	.....	.....
reduced surface runoff					.....	.....	.....
improved excess water drainage					.....	.....	.....
recharge of groundwater table/aquifer					.....	.....	.....
reduced hazard towards adverse events (drought, floods, storms, …)					.....	.....	.....
reduced wind velocity					.....	.....	.....
improved soil cover					.....	.....	.....
increased biomass / above ground C					.....	.....	.....
increased nutrient cycling / recharge					.....	.....	.....
increased soil organic matter / below ground C					.....	.....	.....
reduced emission of carbon and greenhouse gases					.....	.....	.....

reduced soil loss	.....	.....	.....
reduced soil crusting/sealing	.....	.....	.....
reduced soil compaction	.....	.....	.....
reduced salinity	.....	.....	.....
reduced fire risk	.....	.....	.....
increased animal diversity	.....	.....	.....
increased plant diversity	.....	.....	.....
reduced invasive alien species	.....	.....	.....
increased beneficial species (predators, earthworms, pollinators)	.....	.....	.....
increased biological pest / disease control	.....	.....	.....
increased / maintained habitat diversity	.....	.....	.....
others (specify):	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....

3.1.1.4 **Other benefits (specify):**

energy generation (eg hydro, bio)	.....	.....	.....
others (specify):	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....

3.1.2 Indicate <u>off-site benefits</u> (if any). *Tick and quantify / specify if possible.*

Several answers possible

On-site: *concerns the actual area where the SLM Technology is applied.*
Off-site: *concerns the adjacent area or areas further away from the area where the SLM Technology is applied.*

Several answers possible	**negligible (0-5%)**	**little (5-20%)**	**medium (20-50%)**	**high (>50%)**	**quantify** (indicate unit) **before conserv.**	**quantify** (indicate unit) **after conserv.**	**specify / comments**
increased water availability (groundwater, springs)					.....	.....	.....
reduced downstream flooding					.....	.....	.....
increased stream flow in dry season / reliable and stable low flows					.....	.....	.....
reduced downstream siltation					.....	.....	.....
reduced groundwater / river pollution					.....	.....	.....
improved buffering / filtering capacity (by soil, vegetation, wetlands)					.....	.....	.....
reduced wind transported sediments					.....	.....	.....
reduced damage on neighbours' fields					.....	.....	.....
reduced damage on public/ private infrastructure					.....	.....	.....
others (specify):					.....	.....	.....

.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....

3.1.3 Indicate the <u>on-site disadvantages</u> the Technology has shown. *Tick and quantify / specify if possible.*

Several answers possible	**negligible (0-5%)**	**little (5-20%)**	**medium (20-50%)**	**high (>50%)**	**quantify** (indicate unit) **before conserv.**	**quantify** (indicate unit) **after conserv.**	**specify / comments**
3.1.3.1 Production and socio-economic disadvantages							
reduced crop production					.....	.....	.....
reduced fodder production					.....	.....	.....
reduced fodder quality					.....	.....	.....
reduced animal production					.....	.....	.....
reduced wood production					.....	.....	.....
increased risk of crop failure					.....	.....	.....
decreased drinking water availability / quality					.....	.....	.....
decreased irrigation water availability / quality					.....	.....	.....
increased demand for irrigation water					.....	.....	.....
increased expenses on agricultural inputs					.....	.....	.....
decreased farm income					.....	.....	.....
increased economic inequity					.....	.....	.....
loss of land (decreased production area)					.....	.....	.....
increased labour constraints					.....	.....	.....
reduced product diversification					.....	.....	.....
hindered farm operations					.....	.....	.....
others (specify):					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....

Several answers possible	**negligible (0-5%)**	**little (5-20%)**	**medium (20-50%)**	**high (>50%)**	**quantify** (indicate unit) **before conserv.**	**quantify** (indicate unit) **after conserv.**	**specify / comments**
3.1.3.2 Socio-cultural disadvantages							
loss of cultural opportunities					.....	.....	.....
loss of recreational opportunities					.....	.....	.....
socio-cultural conflicts					.....	.....	.....
worsen situation of socially and economically disadvantaged groups (gender, age, status, ethnicity etc).					.....	.....	.....
decreased food security/self-sufficiency					.....	.....	.....
increased health problems					.....	.....	.....
others (specify):					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....
3.1.3.3 Ecological disadvantages							
decreased water quantity					.....	.....	.....
decreased water quality					.....	.....	.....
decreased soil moisture					.....	.....	.....
increased evaporation					.....	.....	.....
increased surface water runoff					.....	.....	.....
waterlogging					.....	.....	.....
lowering of ground water table					.....	.....	.....
decreased soil cover					.....	.....	.....
increased wind velocity					.....	.....	.....
decreased soil organic matter					.....	.....	.....
increased soil sealing / compaction					.....	.....	.....
increased salinity					.....	.....	.....
increased fire risk					.....	.....	.....
increased competition (water, sunlight, nutrients)					.....	.....	.....
increased soil erosion (locally)					.....	.....	.....
reduced biodiversity / crop diversity					.....	.....	.....
increased habitat fragmentation					.....	.....	.....
increased niches for pests (birds, slugs, rodents, etc.)					.....	.....	.....
others (specify):					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....

3.1.3.4 Other disadvantages (specify):

.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....

3.1.4 Indicate <u>off-site disadvantages</u> (if any). *Tick and quantify / specify if possible.*

Several answers possible	**negligible (0-5%)**	**little (5-20%)**	**medium (20-50%)**	**high (>50%)**	**quantify** (indicate unit) **before conserv.**	**quantify** (indicate unit) **after conserv.**	**specify / comments**
increased downstream flooding					.....	.....	.....
reduced river flows					.....	.....	.....
reduced sediment yields					.....	.....	.....
increased groundwater / river pollution					.....	.....	.....
decreased buffering / filtering capacity (by soil, vegetation, wetlands)					.....	.....	.....
increased damage on neighbours' fields					.....	.....	.....
increased damage on public/ private infrastructure					.....	.....	.....
others (specify):					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....
.....					.....	.....	.....

3.1.5 Has the Technology contributed to improve livelihoods and human well-being (eg education, health)?

no yes, little yes, moderately yes, greatly

Specify / comments: .....

.....

3.2 Economic analysis

3.2.1 How do the benefits compare with the establishment costs (from land users' perspective!)?

	very negative	negative	slightly negative	neutral / balanced	slightly positive	positive	very positive
short-term returns:							
long-term returns:							

3.2.2 How do the benefits compare with the maintenance / recurrent costs (from land users' perspective!)?

	very negative	negative	slightly negative	neutral / balanced	slightly positive	positive	very positive
short-term returns:							
long-term returns:							

Short term: 1 - 3 years; **long term:** 10 year

Specify / comments: .....

.....

3.3 Acceptance or adoption

*We differentiate between **acceptance with external material support** and **spontaneous adoption** (the voluntary adoption of a Technology without external material support). If no external support was provided, go to 3.3.2. **Technical guidance** is not considered as external material support.*

***External material support**: In this context external material support also includes financial support from government or private organisations.*

3.3.1 Acceptance with external material support

If no external material support were used, go to 3.3.2.

3.3.1.1 **How many land users who have implemented the Technology have done it with external material support (eg food-for-work, payment, subsidised machinery)?**

..... % of land user families that have applied the SLM Technology*

..... number of land user families

..... % of area stated in 1.3.1*

Specify / comments: .....

.....

.....

** Note: together with 3.3.2.1 this has to add up to 100%, as only those land users who have implemented the Technology are considered*

3.3.2 Spontaneous adoption

*We define **spontaneous adoption** as the voluntary implementation of a Technology without external material support other than technical guidance.*

3.3.2.1 **How many land users who have implemented the Technology have done it wholly voluntarily, without any external material support?**

..... % of land user families that have applied the SLM Technology*

..... number of land user families

..... % of area stated in 1.3.1*

Specify / comments: .....
.....
.....

** Note: together with 3.3.1.1 this has to add up to 100%, as only those land users who have implemented the Technology are considered*

3.3.2.2 **Adoption trend**

Is there a trend towards (growing) spontaneous adoption of the Technology?

no yes, little yes, moderate yes, strong

Comments: .....
.....
.....
.....

3.4 Concluding statements

3.4.1 List the major strengths / advantages of the Technology and how they can be sustained / enhanced.

Give a concluding statement about the Technology.

Strengths / advantages	How can they be sustained / enhanced?
in your opinion	
1)	.....
.....	.....
.....	.....
2)	.....
.....	.....
.....	.....
3)	.....
.....	.....
.....	.....
4)	.....
.....	.....
.....	.....
5)	.....
.....	.....
.....	.....
in the land users' view	
1)	.....
.....	.....
.....	.....
2)	.....
.....	.....
.....	.....
3)	.....
.....	.....
.....	.....
4)	.....
.....	.....
.....	.....
5)	.....
.....	.....
.....	.....

3.4.2 List the major <u>weaknesses / disadvantages</u> of the Technology and how they can be overcome.

Weaknesses / disadvantages	**How can they be overcome?**
in your opinion	
1)	.....
.....	.....
.....	.....
2)	.....
.....	.....
.....	.....
3)	.....
.....	.....
.....	.....
4)	.....
.....	.....
.....	.....
5)	.....
.....	.....
.....	.....
in the land users' view	
1)	.....
.....	.....
.....	.....
2)	.....
.....	.....
.....	.....
3)	.....
.....	.....
.....	.....
4)	.....
.....	.....
.....	.....
5)	.....
.....	.....
.....	.....

ANNEX 1

List the names of other contributing specialists who assisted in filling out this questionnaire. Note that on QT 1 the main responsible person needs to be indicated.

Last name / surname	First name(s)	Institution, address, fax, tel., e-mail
.....	.....	.....
		.....
		.....
.....	.....	.....
		.....
		.....
.....	.....	.....
		.....
		.....

Available documentation

List all useful *references, reports, technical manuals, websites, videos, training materials, etc.* and *contacts* (individuals or projects with address) that relate to the Technology you have described:

References / reports / URL: title, author, year	where available / costs
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....

Contact person / institution:

Last name / surname	First name(s)	Institution, address, fax, tel., e-mail
.....	.....	.....
		.....
		.....
.....	.....	.....
		.....
		.....
.....	.....	.....
		.....
		.....

ANNEX 2

Your judgment of the SLM Technology questionnaire

I liked: .....

.....

I disliked: .....

.....

I suggest: .....

.....

Did the questionnaire help you in evaluation and analysis of land conservation activities?
(rate 1 = very little ... to 5 = very much)

rate: .....

Comments:

.....

.....

.....

.....

.....

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.....

ANNEX 3

Additional information (please always make proper reference to particular questions and page numbers!)

Additional information (please always make proper reference to particular questions and page numbers!)

Annex 4

Causes of degradation

Direct causes (human induced)

Soil management: *improper soil management. This includes cultivation of unsuitable soils, missing or insufficient soil conservation measures, use of heavy machinery, tillage practices (ploughing, harrowing, etc.), etc.*

Crop management: *improper management of annual, perennial (eg grass), shrub and tree crops. This includes a wide variety of practices, such as missing reduction of plant cover and residues, inappropriate application of fertilizer / manure etc, nutrient mining, shortening of the fallow period in shifting cultivation, inappropriate irrigation, inappropriate use of water in rainfed agriculture, etc.*

Deforestation and removal of natural vegetation: *extensive removal of natural vegetation (usually primary or secondary forest), due to large-scale commercial forestry, urban development, conversion to other land uses (agriculture, industry), road construction, forest fires, etc. Deforestation is often followed by agricultural activities that may cause further degradation (see "crop management").*

Over-exploitation of vegetation for domestic use: *in contrast to "deforestation and removal of natural vegetation", this causative factor does not necessarily involve the (nearly) complete removal of "natural" vegetation, but rather degeneration of the remaining vegetation, thus leading to insufficient protection against erosion. It includes activities such as excessive gathering of fuel wood, fodder, (local) timber, fencing material, removal of fodder, etc.*

Overgrazing: *usually leads to a decrease in plant cover, a change to lower quality fodder, and/or soil compaction. This may in turn cause reduced soil productivity and water or wind erosion. It includes excessive numbers of livestock, trampling along animal paths, etc.*

Industrial activities and mining: *this category includes all adverse effects arising from industrialisation and extractive activities. It includes release of airborne pollutants, mining, waste deposition, etc.*

Urbanisation and infrastructure development: *includes all adverse effects arising from industrialisation and extractive activities, such as loss of land resources and their functions for agriculture, water recharge, etc. It can cause considerable runoff and erosion, as well as other types of degradation. It includes land used for settlements / roads, (urban) recreation, etc.*

Discharges: *leading to point contamination of surface and ground water resources and includes discharge of effluents, waste water, sanitary sewage disposal, etc.*

Release of airborne pollutants *(urban/industry): can lead to contamination of vegetation / crops and soil or to a contamination of surface and ground water resources, etc.*

Disturbance of the water cycle*: leading to accelerated changes in the water level of ground water aquifers, lakes and rivers (improper recharge of surface and ground water) due to lower infiltration rates / increased surface runoff, etc.*

Over abstraction / excessive withdrawal of water: *mainly for agriculture / irrigation due to growing irrigation demand, decreasing water use efficiency, industrial and domestic use, etc*

Direct causes (natural)

Natural causes: *many occurrences of erosion and other degradation types are not caused by human activities, eg natural landslides in steep mountain areas, damage by strong wind in deserts, damage through extreme rainfall events, etc. Although WOCAT places the emphasis on human-induced degradation, natural causes may be indicated as well. However, soils that have unfavourable characteristics by nature (or since a considerable period of time), such as sandy desert soils or natural saline soils, are not considered as degraded. They include extreme topography / relief, excess winds and rains, floods, droughts, etc.*

Indirect causes

Population pressure: *density of population can be a driving force for degradation. High population density may trigger or enhance degradation, eg by competing for scarce resources or ecosystem services, but a low population density may also lead to degradation for instance where it leads to a lack of labour force.*

Land tenure: *poorly defined tenure security / access rights may lead to land degradation, as individual investments in maintenance and enhancement can be captured by others and land users do not feel "owner" of the maintenance investments. Tenure systems are particular important factors when conservation practices have a long lag between investment and return, such as terracing and tree planting.*

Poverty / wealth: *poor people cannot afford to invest in resource conserving practices, so instead they continue to use inappropriate farming practices (such as ploughing up hillsides and overgrazing), which again will lead to increased land degradation and worsen poverty. It needs to be assessed whether poverty plays a role in land degradation.*

Labour availability: *shortage of rural labour (eg through migration, prevalence of diseases) can lead to an abandoning of traditional resource conservation practices such as terrace maintenance. Off-farm employment opportunities may on the other hand help to alleviate pressure on production resources, in a sense that land users can invest more in conservation infrastructure as income increases.*

Inputs and infrastructure *(roads, markets, distribution of water points, etc): inaccessibility to, or high prices for key agricultural inputs such as fertilizers, may render it difficult or unprofitable to preserve soil fertility or water resources. Access to markets and prices. Good infrastructure may improve this. On the other hand: a road through a forest can lead to overexploitation and degradation.*

Education, access to knowledge and support services: *investing in human capital is one of the keys in reducing poverty (and thus land conservation practices). Educated land users are more likely to adopt new technologies. Land users with education often have higher returns from their land. Education also provides off-farm labour opportunities.*

War and conflicts: *leading to reduced options to use the land*

Governance / institutional: *laws and enforcements, organization, collaboration and support: government induced interventions may set the scene and be indirect drivers for implementation of conservation interventions.*

Questionnaire on SWC Approaches

WORLD OVERVIEW OF CONSERVATION APPROACHES AND TECHNOLOGIES

A Framework for
Documentation and Evaluation of
Sustainable Land Management

APPROACHES

B basic

WOCAT Questionnaire
Revised 2008

Approach Code

QA | | | | | | |

country code **consecutive number**

WOCAT

A Framework for
Documentation and Evaluation of
Sustainable Land Management

Within the framework of sustainable land management (SLM),

WOCAT's vision is that land and livelihoods are improved through sharing and enhancing knowledge about sustainable land management.

WOCAT's mission is to support innovation and decision-making processes in sustainable land management, particularly in connection with soil and water conservation (SWC). This is done by:

- connecting stakeholders,
- analysing and synthesising experiences and setting direction,
- enhancing capacity and knowledge,
- developing and applying standardized tools for documenting, monitoring, evaluating, sharing and using knowledge

WOCAT's target group is SLM specialists:

- at the field level, including agricultural advisors, project implementers, land users,
- at the (sub-)national level, including planners, project designers, decision makers, researchers,
- at the regional and global levels, including international programme planners, donors.

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Introduction to the questionnaire

Sustainable Land Management (SLM) in the context of WOCAT is defined as the use of land resources, including soils, water animals and plants, for the production of goods to meet changing human needs, while simultaneously ensuring the long-term productive potential of these resources and the maintenance of their environmental functions.

The ultimate goal of this exercise is to improve the effectiveness of SLM by analysing field experience. To achieve this, we need to obtain a better understanding of the reasons behind successful experience with SLM – be it introduced by projects or found in traditional systems. Within SLM WOCAT focuses mainly on efforts to prevent and reduce land degradation through conservation technologies and their implementation approaches.

It is necessary to analyse not only so-called "successful" examples, but also those which may be considered – at least partially – a failure. The reasons for failure are equally important for our analysis.

Three questionnaires

WOCAT has developed a set of three questionnaires to analyse and evaluate SLM:

- *Questionnaire on SLM Technologies (QT)*
- *Questionnaire on SLM Approaches (QA)*
- *Questionnaire on the SLM Map (QM)*

Questionnaire on SLM Technologies (QT): QT addresses the following questions: **what** are the specifications of the Technology, and **where** is it used (natural and human environment), what impact does it have. The questionnaire consists of three main parts: 1. General information; 2. Specification of SLM Technology; 3. Analysis of SLM Technology.

A **SLM Technology** consists of one or more *conservation measures* belonging to the following categories:

- ***agronomic*** (eg intercropping, contour cultivation, mulching),
  - ***vegetative*** (eg tree planting, hedge barriers, grass strips),
  - ***structural*** (eg graded banks or bunds, level bench terrace),
  - ***management*** (eg land use change, area closure, rotational grazing).

Combinations of above measures which are complimentary and thus enhance each other are part of a SLM Technology.

Criteria for identification and examples of technologies are given in the Questionnaire on SLM Technologies "basic" on page QT1 and QT7.

The **questionnaire on SLM Approaches (QA):** QA addresses the questions of **how** implementation was achieved and **who** achieved it. It is also made up of three main parts: 1. General information; 2. Specification of SLM Approach; 3. Analysis of SLM Approach

A **SLM Approach** defines the ways and means used to promote and implement a SLM Technology and to support it in achieving more sustainable soil and water use. A 'SLM Approach' - as defined by WOCAT - refers to a particular land conservation activity, be it an official project/programme, an indigenous system, or changes in a farming system towards more sustainable soil and water use. A SLM Approach consists of the following elements: ***All participants*** (policy-makers, administrators, experts, technicians, land users, i.e. actors at all levels), ***inputs and means*** (financial, material, legislative, etc.), and ***know-how*** (technical, scientific, practical). An Approach may include different ***levels of intervention***, from the individual farm, through the community level, the extension / advisory system, the regional or national administration, or the policy level, to the international framework. Besides conservation activities introduced through projects or programmes, WOCAT includes indigenous conservation measures and spontaneous adoptions or adaptations of SLM Technologies. ***In the case of a project, we restrict ourselves to those elements within the project that are directly or indirectly relevant to land conservation.***

The **questionnaire on SLM Mapping (QM)** addresses the question of **where** problems and their treatments occur. It is split up into 5 different steps: Contributing specialist; Land Use System; Land degradation per land use system, Land conservation per land use system; Expert recommendation

The three questionnaires (QT, QA and QM) complement each other. The information obtained from the questionnaires will provide an information base / database for the development and evaluation of SLM. The analysis and evaluation process is based on this information and on the knowledge provided by core groups of SLM specialists and the world community of conservation implementers at large.

The basic questionnaire and the modules

WOCAT has developed a modular questionnaire system in order to meet the needs of different user groups. The "basic questionnaires" on Technologies and Approaches contain the key questions on sustainable land management (SLM), they are the foundation of the WOCAT methodology.

The framework is flexible and open for additional topics (not covered in the standardised WOCAT questionnaires): further modules can thus be added according to specific interests and needs, e.g. modules on "Biodiversity", "Carbon sequestration", etc. The realisation of additional modules depends on the initiative of interested partners, who can count on the collaboration of WOCAT.

Please read these notes before filling out the questionnaire!

- It is recommended that the questionnaire be filled in by a **team of SLM specialists** with different backgrounds and experiences who are familiar with the details of the SLM Technology (technical, financial, socio-economic).
- **Don't let the number of pages in this questionnaire discourage you!** In some places the information will be simple to obtain, but in other sections there may be no hard data available. In this latter case, we ask you to provide a best estimate, based on your professional judgment.
- **Shaded parts** in the questionnaire are questions to be filled in, **not shaded parts** are explanations or examples.
- Fill all questions. If information is not available or if certain questions are not applicable always indicate "n/a". Please note that throughout the document the following is valid:

☑ ***Square boxes must be ticked!*** *If 'Several answers possible' is not indicated tick only one box****!***
Make use of the specify/remark/comments column or line as much as possible!

◯ ***Circles always require ranking!*** *It is possible to give more than one option the same rank, but not necessarily all circles need to be given a number. Use only ranks 1, 2 or 3!*

1 = very important / large extent
2 = important / medium extent
3 = less important / little extent

- **Make use of existing documents and seek advice from other SLM specialists and land users as much as possible in order to improve the quality of the data. Use this questionnaire as an evaluation tool for your SLM activities. Remember that the quality of the results entirely depends on the quality of your answers.**
- Use the definitions given in this document, even when they deviate from your own/national definitions (e.g. land use, slope classes, etc.)
- If you do not have enough space for answers, use the empty pages at the end of the questionnaire. Please make a footnote in the questionnaire to indicate the exact question number. Please also attach good technical **drawings, photographs descriptions**, references, etc.
- One questionnaire has to be filled out for each Approach and for each Technology. Do not forget to give this questionnaire a code (see cover page of this document and page QA 1).
- The questionnaire was designed to document SLM technologies. However, it can also be used for any land use management practice which may not be declared as a SLM practice. If the objective is to compare situation x (after or with SLM measures) with y (before or without SLM measures), fill in two separate questionnaires. The questionnaire on x has to be filled completely. In the questionnaire on y only the answers that are different from x need to be filled. Indicate through the coding that the technologies are related (eg SWI05a and SWI05b).
- An Approach should be linked with one (or several) SLM Technology (ies).
- A Questionnaire on Technologies and a corresponding Questionnaire on Approaches together describe a case study within a selected area
- Please fill out the questionnaire **carefully and legibly**.
- **Please enter the information in the WOCAT online database,** see www.wocat.net/databs.asp

Contents

PART 1: GENERAL INFORMATION

Part 1 is designed to obtain information about the area where the sustainable land management Approach was used, and about the people who used the Approach.

1.1 Contributing SLM specialist(s)

Fill in the Questionnaire Code on the first page of this document.
If several SLM specialists are involved, write the name of the main person and his / her institution below and add the other person(s) details in Annex1

Last name / surname: ..... First name(s): ..... female male

Current institution and address:

Name of institution: .....

Address of institution: .....

Postal Code: ..... City: .....

State or District: ..... Country: .....

Tel: ..... Fax: ..... E-mail: .....

Permanent address: .....

Postal Code: ..... City: .....

State or District: ..... Country: .....

Please confirm that institutions, projects, etc. referred to, have no objections to the use and dissemination of this information by WOCAT.

Date: ..... Signature: .....

1.2 Brief identification of SLM Approach (see definition on page i)

Country: .....

Approach code: | | | | | | |

Approach code: boxes 1-3: country code; boxes 4-6: consecutive number; will be assigned automatically when entering questionnaire information in the database

1.2.1 Common name of SLM Approach: .....

.....

Do not use exactly same name as used for the corresponding Technology (QT), try to name the main characteristic of the Approach (name of project/programme/initiative, name of implementation / extension / promotion method used, etc.)

1.2.2 Local or other name(s) (with language) .....

.....

1.2.3 The major SLM Technologies promoted by this Approach need to be described in separate WOCAT questionnaires. Indicate these SLM Technologies and the authors.

WOCAT recommends that you first fill in the Technology questionnaire and that you focus the description of the Approach to the Technology/-ies documented.

Name of Technology:	Author:	Questionnaire code:
1.	.....	QT _ _ _ | _ _ _
2.	.....	QT _ _ _ | _ _ _
3.	.....	QT _ _ _ | _ _ _

1.2.4 Did the Approach concentrate / focus:

on conservation only mainly on conservation with other activities mainly on other activities

Give keywords for the other activities: .....

.....

☑ ***Square boxes must be ticked!*** *If 'Several answers possible' is not indicated tick only one box!*
Make use of specify/remark/comments as much as possible

WOCAT restricts itself to those elements within the Approach that are relevant to SLM (see Introduction on page i).

1.3 Area information

If you have already filled out questionnaires on SLM Technologies that were implemented under this Approach, refer to the information given there on page QT3.

1.3.1 Define the area where the SLM Approach has been (or is still being) implemented

State / Province: ..... District / Commune: .....

Total SLM Approach area:	..... km^2

Comments: .....

.....

.....

.....

.....

.....

.....

SLM Approach area:
The area where the SLM Approach including its SLM Technology (ies) is already used and implemented. Approach area often is defined based on administrative units, catchments boundaries, land use types, social groups, etc. thus it differs from Technology area (defined as the area where a particular Technology is actually applied, see QT3).

Provide the coordinates in latitude and longitude of the centre of the Approach area, or indicate boundary points to delineate the conservation area. It is as well possible to provide a GoogleEarth .kmz file (containing a 'placemark or a 'polygon').

Centre latitude: _____ Centre longitude: _____

Outline points or GoogleEarth file: _____

_____

_____

GoogleEarth: download free version from http://earth.google.com/

1.3.2 Provide photos showing impressions of the Approach

Show stakeholders interacting with each other / implementing / in training, etc…
Provide at least two photos. Explanation (description) is required for each photo submitted!
Photos should be of high quality. Highest possible resolution is required for digital photos.

Explanation of photo:

Description: .....

.....

.....

.....

.....

.....

Location: .....

.....

Distr./Prov./State: .....

Date: .....

Author: .....

Address: .....

.....

Provide the same information for each photo submitted!

PART 2: SPECIFICATION OF SLM APPROACH

In this and subsequent sections you are asked to provide precise information about the SLM Approach. This Approach utilised one or more SLM Technologies which you, or a colleague, are to describe in detail in a separate Technology Questionnaire (QT).

As not all land conservation is achieved by means of formal projects or programmes, you may also use these sections to describe an informal Approach, eg the implementation of traditional/indigenous technologies. In this case leave out 2.1.2 but try to answer the other questions.

Questions are in the past tense since WOCAT is evaluating what has been already achieved.

2.1 Description, objectives and operation

2.1.1 Description

In 1.2.1 and 1.2.2 you indicated the name and gave key words. Below give a definition and a concise description of the Approach.

2.1.1.1 **Definition of the SLM Approach** (in one sentence)

.....

.....

Definition of Approach is very important as it determines whether anyone searching the database will read further. It contains key characteristics (key words) of the Approach.

*A **SLM Approach** defines the ways and means used to promote and implement a SLM Technology and to support it in achieving more sustainable soil and water use. A 'SLM Approach' - as defined by WOCAT - refers to a particular land conservation activity, be it an official project/programme, an indigenous system, or changes in a farming system towards more sustainable soil and water use. A SLM Approach consists of the following elements:*

- *all stakeholders/**participants** (policy-makers, administrators, experts, technicians, land users, i.e. actors at all levels)*
- ***inputs** and **means** (financial, material, legislative, etc.), and*
- ***know-how** (technical, scientific, practical and to whom the know-how belongs to)*

*An Approach may include different **levels of intervention**, from the individual farm, through the community level, the extension / advisory system, the regional or national administration, or the policy level, to the international framework. Besides land conservation activities introduced through projects or programmes, WOCAT includes indigenous conservation measures and spontaneous adoptions or adaptations of SLM Technologies. In the case of a project, we restrict ourselves to those elements within the project that are directly or indirectly relevant to land conservation.*

2.1.1.2 **Provide an extended summary of the Approach with its main characteristics**

Make sure that the description contains the key characteristic / distinct features of the Approach, its aims / objectives, methods used, stages of implementation, role of participants). This summary has to provide a comprehensive / concise picture of the Approach to outsiders. After having gone through the whole questionnaire come back and revise / complement this section. Try to fill the grey shaded space but do not exceed…

Aims / objectives: .....

.....

.....

.....

.....

.....

.....

Methods: .....

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Stages of implementation: .....

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*Role of stakeholders: .....

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*Other important information: .....

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.....

***If relevant, **indicate gender, status and ethnicity** and mention who accepted /resisted, who benefited / was excluded and if equity was advanced.*

2.1.1.3 **Indicate the type of SLM Approach**

traditional/indigenous
recent local initiative / innovative
project/programme based
other (specify):……...

2.1.1.4 **Initiation of the Approach:** ..... (year)
If the Approach was conducted through a project: **End of project**: ..... (year)

2.1.2 Provide, if possible, an organisation chart / flow chart
Point out important actors within the Approach, their functions; interactions; stages / phases of implementation; etc

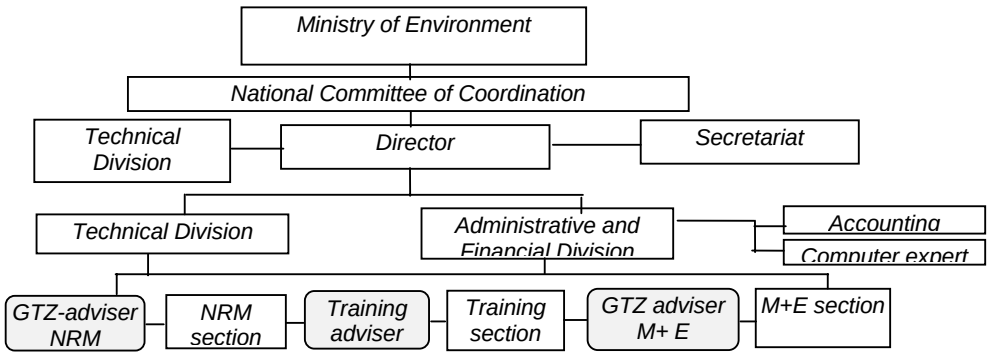
Description: .....

Author, Address: .....

Date: .....

Organisation chart (organogramme): *a chart showing graded arrangement of personnel in an organisation*
Flow chart: *A pictorial summary that shows with symbols and words the steps, sequence, and relationship of the various operations involved in the Approach (www.jcaho.org/accredited+organizations/sentinel+event/glossary.htm; adapted)*

Example: *Organogramme of the project 'Natural Resource Management' (Mali) at the national level*



2.1.3 Problems / constraints

2.1.3.1 **What were the main problems to be addressed by the Approach (low agricultural production, lack of technical knowledge, lack of cash to invest in SLM, conflicts over resource use, poverty, social equity, etc)?**

.....

.....

.....

.....

2.1.3.2 **List the main constraints hindering implementation of the Technology and how they were treated through the Approach**

			Specify:
social / cultural / religious	◯	constraint:	.....
			.....
		treatment:	.....
			.....
financial	◯	constraint:	.....
			.....
		treatment:	.....
			.....
institutional	◯	constraint:	.....
			.....
		treatment:	.....
			.....
legal / land use and water rights	◯	constraint:	.....
			.....
		treatment:	.....
			.....
technical	◯	constraint:	.....
			.....
		treatment:	.....
			.....
workload	◯	constraint:	.....
			.....
		treatment:	.....
			.....
other	◯	constraint:	.....
			.....
		treatment:	.....
			.....

other	constraint:	.....
		.....
	treatment:	.....
		.....

◯ ***Circles always require ranking!*** *It is possible to give more than one option the same rank, but not necessarily all circles need to be given a number. Use only ranks 1, 2 or 3!*
1 = very important / large extent
2 = important / medium extent
3 = less important / little extent

Make use of specify/remark/comments as much as possible

2.1.4 Objectives and targets

2.1.4.1 **What were the main aims / objectives of the Approach?**

.....
.....
.....
.....
.....

Aims/objectives: not only project objectives, but also aims of individual initiatives

2.1.5 Decision making

2.1.5.1 **How were decisions on the choice of SLM Technology made?**

by land users* alone (self-initiative / bottom-up)
mainly by land users supported by SLM specialists
mainly by SLM specialists with consultation of land users
by SLM specialists alone (top-down)
by politicians / leaders
other (specify) .....

Explain: .....
.....
.....
.....

**** Land user**: the person / entity who implements / maintains land conservation, including individual small/large scale farmers, groups (gender, age, status, interest), cooperatives, industrial companies (eg mining), government institutions (eg state forest), etc*

☑ ***Square boxes must be ticked!*** *If 'Several answers possible' is not indicated tick only one box!*
Make use of specify/remark/comments as much as possible

2.1.5.2 **How were decisions made on the method of implementing the SLM Technology?**

by land users* alone (self-initiative / bottom-up)	
mainly by land users supported by SLM specialists	
mainly by SLM specialists with consultation of land users	
by SLM specialists alone (top-down)	
by politicians / leaders	
other (specify)	

Explain .....
.....
.....
.....

2.1.6 Operations of the SLM Approach

2.1.6.1 **Who designed the Approach?**

national specialists ◯ international specialists ◯ land users ◯ other: ◯ .....

If several actors were involved, specify (if relevant also gender, age, status, ethnicity etc) who designed what: .....
.....
.....

2.1.6.2 **Which were the implementing bodies?**

international	◯	specify .....
government	◯	specify .....
international non-government	◯	specify .....
national non-government	◯	specify .....
local government (district, county, municipality, village etc)	◯	specify .....
community / local	◯	specify .....
other	◯	specify .....

Where there are different bodies operating at different levels, explain roles at different levels.

***community/local**: land users themselves without international agencies, government and non-governmental interventions*

2.2 Participation

2.2.1 Stakeholders / target groups

2.2.1.1 **What specific stakeholders / target groups were involved?**

		Specify (if relevant also gender, age, status, ethnicity etc)
land users, individual	◯	……
land users, groups	◯	……

SLM specialists / agricultural advisors	◯	……
planners	◯	……
politicians / decision makers	◯	……
teachers / school children / students	◯	……
other (specify)	◯	……

2.2.2 Land user involvement

2.2.2.1 **For the various phases of the Approach as listed below, what was the main type of involvement of land users / local communities?**

	Involvement					
			active			
phase	none	passive	payment / external support	interactive	self-mobilisation	Specify who was involved and describe activities
initiation/motivation						.....
planning						.....
implementation						.....
monitoring / evaluation						.....
research						.....

Involvement of local communities

Passive: *people participate by being informed what will happen or has already happened. They also participate by being consulted or by answering questions, but they do not decide.*

Active: ***Payment / external support:*** *people participate in return for food, cash or other material support and / or by forming groups to carry out predetermined objectives.*

Interactive: *people participate in joint (people and project) analysis, in development of action plans and institutional formation, and in joint decisions on the use of resources.*

Self-mobilisation: *people participate by taking initiatives independently of external institutions. They develop contacts with external institutions for resources and technical advice they need, but retain control over how resources are used.*

2.2.2.2 **Were there differences between the participation of men and women?**

no yes, little yes, moderate yes, great

If yes, why? .....

Specify differences: .....

2.2.2.3 **Did the Approach involve socially and economically disadvantaged groups?**

no yes, little yes, moderate yes, great

If yes, specify group (gender, age, status, ethnicity etc) and how:.....

.....

.....

2.3 Financing

This part considers all costs of the SLM Approach including the implementation of the Technology.

2.3.1 Source

2.3.1.1 **What percentages of Approach costs were met by the following contributors / donors?**

	Specify:	
international institution	.....	..... %
national government	.....	..... %
international non-government	.....	..... %
national non-government	.....	..... %
private sector	.....	..... %
local government (district, county, municipality, village etc)	.....	..... %
local community / land user(s)	.....	..... %
other	.....	..... %
		100 %

Source: in kind contributions often apply to community / local level contributions

2.3.2 Budget

Note: Some projects / programmes include many activities other than SLM. Please calculate / estimate only the amount that was used for SLM Approach as described here.

2.3.2.1 **Indicate the annual budget for the SLM component of the Approach (training and extension, research, as well as for the implementation) (in US$)**

<2,000 2,000-10,000 10,000-100,000 100,000-1,000,000 >1,000,000

2.4 Technical support and promotion

2.4.1 Training / awareness raising

2.4.1.1 **Did the Approach provide training / awareness raising?**

no yes if yes, for whom:
land user ◯ field staff/agricultural advisor ◯ other (specify) ◯ .....

If relevant specify gender, age, status, ethnicity etc: .....

If yes, briefly describe what subjects were treated: .....
.....
.....

If no, go to question 2.4.2

2.4.1.2 **What form of training was provided for land users?**

on-the-job ◯ site visits / farmer to farmer ◯ demonstration areas ◯ public meetings ◯
courses ◯ other (specify) ◯ .....

2.4.2 Advisory service

2.4.2.1 **Give the name of the method used for advisory service and describe key elements:**

name: .....
key elements: 1. .....
2. .....
3. .....
Comments: ……
……

2.4.2.2 **Is government or other advisory service now adequate to ensure the continuation of land conservation activities?**

totally inadequate inadequate quite adequate very adequate

Explain: .....
.....

2.4.3 Research

2.4.3.1 **Was research part of the Approach?**

no yes, little yes, moderate yes, great

If yes, what kind of research was undertaken?

Several answers possible

sociology economics / marketing ecology technology

other (specify) .....

Give details and indicate by whom: .....

.....

2.4.3.2 **Was research:**

on station on-farm both

2.5 External material support / subsidies

2.5.1 Inputs

Subsidy: *a subsidy is an instrument used by the state or by private actors to reduce the costs of a product or increase the returns from a particular activity (Kerr, 1994). It may be provided in cash or in kind and usually serves a specific purpose.*

External material support*: In this context external material support also includes financial support from government or private organisations.*

2.5.1.1 **Were contributions per area provided by state, private sector etc (eg EU subsidies, compensations)?**

no yes If yes specify: …….

……

2.5.1.2 **If labour by land users was a substantial input, was it:**

voluntary ◯ food-for-work ◯ paid in cash ◯ rewarded with other material support ◯

Specify: .....

2.5.1.3 **What was financed under the Approach, and under which conditions?**

no inputs *In case of no inputs go to 2.5.1.3*

Several answers possible	specify inputs	not financed [1]	partly financed	fully financed [2]	other (specify)
Inputs					
equipment (machinery, tools, etc)	.....				.....
agricultural (seeds, fertilizers, etc)	.....				.....
construction material (stone, wood, etc)	.....				.....
infrastructure (roads, schools, etc)	.....				.....
other:	.....				.....
other:	.....				.....
other:	.....				.....

Comments: ……

……

[1] full costs to land users
[2] no costs to land users

2.5.2 Credit

2.5.2.1 **Was credit provided under the Approach for land conservation activities?**

no yes

If yes, indicate interest rate charged .....% per annum and repayment conditions: .....

.....

If yes, also indicate if interest was equal to or lower than market rate.

Specify credit receiver: ……

2.5.3 Were local institutions supported under the Approach?

Several answers possible

no yes, little yes, moderate yes, great

If yes, is this financial training equipment other .....

Specify:……..

……

After completing Part 2, please check whether you wish to add anything to the summary you provided in 2.1.1.2.

PART 3: ANALYSIS OF THE SLM APPROACH

3.1 Methods for monitoring and evaluation

3.1.1 Monitoring procedures and reporting

3.1.1.1 **Describe monitoring procedures:**

Several answers possible

aspect	type		frequency		by whom?				
	observations	measurements	ad hoc	regular	project staff	government	land users	other	specify indicators
bio-physical									……
technical									……
socio-cultural									……
economic / production									……
area treated									……
no. of land users involved									……
management of Approach									……
other.....									……
other.....									……

Indicators (examples):
- *bio-physical: runoff, erosion rate*
- *technical: performance/functionality of conservation measure*
- *socio-cultural: attitude, health, gender, age, status, etc*
- *economic: yield, income*
- *management of Approach: allocation of project activities*

3.1.2 Changes due to monitoring and evaluation

3.1.2.1 **Were there changes in the Approach as a result of monitoring and evaluation?**

no few several many

Explain and give examples where possible: .....

.....

3.1.2.2 Were there changes in the Technology as a result of monitoring and evaluation?

no few several many

Explain and give examples where possible: .....

.....

3.2 Impact analysis

More details need to be further described in the questionnaire(s) on SLM Technologies promoted by this Approach. Impact analysis is crucial to assess investments made in SLM, however often poorly assessed and documented; please provide as much information as possible

3.2.1 Land management

3.2.1.1 **Did the Approach help land users to improve sustainable land management?**

no yes, little yes, moderately yes, greatly

If yes, specify improvements? .....

.....

.....

If no, why? .....

.....

The term Approach refers to the implementation of a conservation activity, be it introduced through a project / programme, be it an indigenous system or be it a spontaneous adoption / adaptation based on individual initiative (see definition page i).

3.2.2 Socio-economic

3.2.2.1 **Did other land users / projects adopt the Approach?**

no yes, few yes, some yes, many

Specify (eg. where and which projects/land users?); quantify (how many?) and explain: .....

.....

3.2.2.2 **Did the Approach lead to improved livelihoods / human well-being?**

no yes, little yes, moderately yes, greatly

If yes, specify improvements? .....

.....

.....

If no, why? .....

.....

3.2.2.3 **Did the Approach improve the situation of socially and economically disadvantaged groups?**

no yes, little yes, moderately yes, greatly

If yes, specify group (gender, age, status, ethnicity etc) and improvements? .....

.....

.....

If no, why? .....

3.2.2.4 **Did the Approach help to alleviate poverty?**

no yes, little yes, moderately yes, greatly

If yes, specify improvements? .....

.....

.....

If no, why? .....

3.2.3 Training, advisory service and research

3.2.3.1 **How effective was training for the different target groups?**

In 2.4.1 you have described training provided

Target group	poor	fair	good	excellent
land users*				
SLM specialists				
agricultural advisor / trainers				
teachers				
school children / students				
planners				
politicians / decision makers				
other (specify)				

Explain: .....

.....

.....

**** Land user**: the person / entity who implements / maintains land conservation, including individual small/large scale farmers, groups (gender, age, status, interest), cooperatives, industrial companies (eg mining), government institutions (eg state forest), etc*

3.2.3.2 **How effective was the advisory service for the different target groups?**

In 2.4.2 you have described the extension / agricultural advice

target group	poor	fair	good	excellent
land users*				
politicians / decision makers				
planners				
teachers				
technicians / conservation specialists				
school children / students				

other (specify) .....

Explain: .....

.....

.....

3.2.3.3 **How effective was research in contributing to the Approach's effectiveness?**

not at all little moderately greatly

Explain: .....

.....

3.2.4 Land ownership, land use rights / water rights and legislation

3.2.4.1 **To what degree did the existing land ownership, land use rights / water rights help or hinder the Approach implementation*?**

help: low moderately greatly

hinder: low moderately greatly

neither

Explain: .....

.....

.....

** make sure this information is captured in 2.1.3.2*

3.2.4.2 **If the land ownership or land use rights / water rights hindered conservation activities, to what degree did the Approach reduce the problem?**

not at all low moderately greatly

Explain: .....

.....

If "not at all" or "low", could the problem be overcome in the near future? likely unlikely

Explain: .....

.....

3.2.5 Subsidies

3.2.5.1 **If subsidies were used, are they likely to have a long-term impact on the implementation of SLM?**

Positive long-term impact

none low moderately greatly

Negative long-term impact

none low moderately greatly

Explain (eg on whom): .....

.....

.....

Subsidy: *a subsidy is an instrument used by the state or by private actors to reduce the costs of a product or increase the returns from a particular activity (Kerr, 1994). It may be provided in cash or in kind and usually serves a specific purpose.*

3.3 Concluding statements

The concluding statements should concentrate on the Approach you described in this document. Concluding statements for the SLM Technologies associated with this Approach are to be made in separate questionnaire on SLM Technologies.

3.3.1 General

3.3.1.1 **What was the main motivation of the land user to implement SLM?**

production	◯	Comment: ……
increased profit(ability), improve cost-benefit-ratio	◯	Comment: ……
rules and regulations (fines) / enforcement	◯	Comment: ……
prestige / social pressure	◯	Comment: ……
payments / subsidies	◯	Comment: ……
reduced workload	◯	Comment: ……
affiliation to movement / project / group / networks	◯	Comment: ……
environmental consciousness, moral, health	◯	Comment: ……
well-being and livelihoods improvement	◯	Comment: ……
aesthetic	◯	Comment: ……
other (specify): ……..	◯	Comment: ……
other (specify): ……..	◯	Comment: ……

3.3.1.2 **Can the land users continue the Approach activities without support (sustainability)?**

no yes uncertain

if no or uncertain, specify and comment:.....

.....

.....

.....

.....

.....

.....

If yes, describe how: .....

.....

.....

.....

.....

3.3.2 List the major <u>strengths / advantages</u> of the Approach and how can they be sustained / enhanced?

Strengths / advantages	**How can they be sustained / enhanced?**
in your opinion	
1)	.....
....	.....
.....	.....
2)	.....
....	.....
.....	.....
3)	.....
....	.....
.....	.....
4)	.....
....	.....
.....	.....
5)	.....
....	.....
.....	.....
in the land users' view*	
1)	.....
....	.....
.....	.....
2)	.....
....	.....
.....	.....
3)	.....
....	.....
.....	.....
4)	.....
....	.....
.....	.....
5)	.....
....	.....
.....	.....

**** Land user**: the person / entity who implements / maintains land conservation, including individual small/large scale farmers, groups (gender, age, status, interest), cooperatives, industrial companies (eg mining), government institutions (eg state forest), etc*

3.3.3 List the major <u>weaknesses / disadvantages</u> of the Approach and ways of how they could be overcome.

Weaknesses / disadvantages	**How can they be overcome?**
in your opinion	
1)	.....
....	.....
.....	.....
2)	.....
....	.....
.....	.....
3)	.....
....	.....
.....	.....
4)	.....
....	.....
.....	.....
5)	.....
....	.....
.....	.....
in the land users' view*	
1)	.....
....	.....
.....	.....
2)	.....
....	.....
.....	.....
3)	.....
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4)	.....
....	.....
.....	.....
5)	.....
....	.....
.....	.....

ANNEX 1

List the names of other contributing SLM specialists who assisted in filling out this questionnaire. Note that on QA 1 the main responsible person needs to be indicated.

Last name / surname	First name(s)	Institution, address, fax, tel., e-mail
.....	.....	.....
		.....
.....	.....	.....
		.....
.....	.....	.....
		.....

Available documentation

List all useful *references, reports, technical manuals, videos, training materials, etc.* and *contacts* (individuals or projects with address) that relate to the Approach you have described:

References / reports: title, author, year	where available / costs
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....
.....	.....

Contact person / institution involved in this Approach:

Last name / surname	First name(s)	Institution, address, fax, tel., e-mail
.....	.....	.....
		.....
.....	.....	.....
		.....
.....	.....	.....
		.....

ANNEX 2

Your judgment of the SLM Approach questionnaire

I liked: .....

.....

I disliked: .....

.....

I suggest: .....

.....

Did the questionnaire help you in evaluation and analysis of land conservation activities?
(rate 1 = very little ... to 5 = very much)

rate: .....

Comments:

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ANNEX 3

Additional information (please always make proper reference to particular questions and page numbers!)

Form for documentation of potential solutions

Description of potential strategy

Definition of strategy (in one sentence)

.....

.....

Provide an extended summary of the strategy with its main characteristics

Aims / Objectives: .....

.....

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Target group: .....

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Target area and land use: .....

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Description: .....

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Methods: .....

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Stages of implementation: .....

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Inputs (labour, costs): .....

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Role of participants: .....

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Expected impacts: .....

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Expected constraints: .....

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Other important information: .....

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